

**AN AFFIRMATIVE ACTION
CONTROL MODEL FOR LOCAL GOVERNMENT**

CHARLEY FRED CAIN

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ABSTRACT

Current political changes in local government will necessitate the implementation of affirmative action programmes. Successful implementation is vital to ensure peace and stability at local government level. The main purpose of this study was to examine control options for affirmative action in local government.

The research was conducted by means of two research methods, namely documentary study on eight policy documents and survey questionnaires from 152 people involved in local government. It is interesting to note that the results of these methods were highly complementary.

The documentary study and survey questionnaire results revealed a high degree of consensus on union involvement in the development of affirmative action policies and programmes. Furthermore, the enforcement of affirmative action by means of agreement between management and the trade unions was well received by all occupation groups in the study. Councillors and officials in particular, had no difficulty with shop steward involvement in the implementation of affirmative action.

The study revealed that council officials and councillors are not in favour of government involvement in enforcing affirmative action policies and programmes. At best, negotiated guidelines on affirmative action are fairly acceptable. The use of quotas and/or fines was unacceptable to the various parties.

The nature of the research was exploratory and took the form of theory building as opposed to theory testing. For the first time in South Africa, an attempt was made to assess how best control systems for affirmative action policies and programmes could be implemented in local government. The input from key stakeholders in local government made it possible to develop a model that could be used to control affirmative action policies and programmes.

DECLARATION

I declare that this thesis is my own, unaided work. It is being submitted in partial fulfilment of the requirements for the Degree of Master of Management in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other University.

C. F. Cain

CHARLEY FRED CAIN

14th day of January 1994

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Philippians 4:13 - "I can do all things through Christ which strengtheneth me."

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CHAPTER 1

INTRODUCTION

1.1 BACKGROUND AND RESEARCH PROBLEM

The purpose of this section is to provide background information with reference to the revolutionary changes presently taking place in local government. Specific attention will be given to the impact of these changes on traditional employment practices as well as on subsequent equalisation of employment opportunities.

The research problem will emanate from this discussion.

1.2 CHANGES IN LOCAL GOVERNMENT

The Local Government Negotiation Forum is currently in the process of negotiating a non-racial and non-sexist local government dispensation. It is estimated that before the end of 1993 Interim Executive Councils will be in place to administer newly constituted interim administrations (The Star, 1993).

The implication of these changes in effect means that existing white local authorities will be integrated with neighbouring black local authorities. To this end the principle of one local authority one tax base will apply.

Given the above developments, two major issues, namely, affirmative action and the training and development of staff in existing black local authorities have emerged and are enjoying high priority (see Appendix 1). Special working groups of the Local Government Negotiation Forum (hereafter: LGNF) are currently debating these issues and will undoubtedly negotiate appropriate policies to meet the needs expressed by the representative parties to the LGNF.

Local authorities, in a not too distant future, will serve the needs of diverse resident and ratepayer communities. The key question is whether existing policy-makers are equipped to deal with the needs and aspirations of the disadvantaged community (i.e. blacks, coloureds and Asians). The racial composition of high level manpower in local government is predominantly white male and is hence not well positioned to meet the needs of diverse communities.

Chimere-Dan (1992) makes the point that as a guide to public policy, the reality of demographics is highly relevant to contemporary South Africa since the rapidly expanding black population is already making increasing demands for public services. He further asserts that maximum and equitable responses to these demands will need a knowledge of different characteristics of the national and local population groups. In practice, white male policy-makers failed to address the needs of the black community. Their initiatives at best resulted in inefficiency and at worst in a total collapse in the provision of essential services.

The legitimacy of a new dispensation will only be realised if competent blacks are appointed, particularly in senior management positions. Moreover, black officials will in the interim phase be perceived to serve the needs identified by black politicians more effectively than their white counterparts. Present policy-makers may for example be more loyal to say the Conservative Party and could apply delaying tactics in executing policy formulated by say a ANC dominated Council. However, Sachs (1992) makes the point that officials should not only serve their own groups but the entire community.

Effective affirmative action policies will determine to a large extent the successful operation of new local government administrations. The Deputy Minister of Local Government, Yakoob Makda (1993) noted that particular attention should be paid to a just system of affirmative action. The bottom-

line is, if affirmative action fails, local authorities could become ungovernable, which in turn may, more than likely, result in destabilising the socio-political environment and plunge the country into chaos.

Representation of blacks in skilled and managerial job categories in local government which now employs approximately 250 000 employees nationally (see Appendix 2), is appalling to say the least. Only 2.4 % of the Town Clerk/Treasurer positions in South Africa are for example occupied by blacks (see Appendix 3). To add to the enormity of the problem is the fact that blacks in particular have suffered from a lack of primary, secondary and tertiary education as well any vocational training. This in effect means that the number of blacks available for appointment to and training for managerial positions in local government is limited.

1.3 AFFIRMATIVE ACTION AND EMPLOYMENT PRACTICES

Racial and gender discrimination have been deliberately entrenched in a wide range of statutory provisions in South Africa for many decades. Preferential acts such as s 77 of the Industrial Conciliation Act and s 12 of the Mines and Works Act were specifically promulgated to lay the basis for the policy of job reservation. A series of policies favouring whites over black workers were first developed by the National Party and the Labour Party (the Pact government) during the 1920s. The so called "civilized labour policy" of the Pact government was precisely enacted to uplift urbanized poor whites at the expense of black workers, largely through employing large numbers of unskilled and semi-skilled whites in state and parastatal organisations. The list of discriminatory instruments in labour law is well documented and has no doubt served the goals of apartheid extremely well (Thompson, 1992).

Given the long history of discriminatory labour practices, it is not surprising that the promotion of equality has become the central objective of political

parties and movements engaged in the process of negotiating a new constitutional dispensation both at the national and local level. There is no doubt very broad consensus that all forms of race discrimination in a new society must be eradicated.

It is therefore not surprising that one of the major players, namely the ANC, devoted two full articles on affirmative action in its draft Bill of Rights. Article 14 reads (Thompson, 1992, p.4):

"1. Nothing in the Constitution shall prevent the enactment of legislation, or the adoption by any public or private body of special measures of a positive kind designed to procure the advancement and the opening up of opportunities, including access to education, skills, employment and land, and the general advancement in social, economic and cultural spheres, of men and women who in the past have been disadvantaged by discrimination.

2. Any action taken in terms of the above shall not be deemed to contradict the principle of equal rights for all South Africans as set out in Article 1".

It is encouraging to note that the African National Congress (Ready to Govern, 1993) proposes affirmative action with a view to establishing a law-governed, progressive and equitable way of ensuring advancement without on the one hand freezing present privileges or on the other going over to arbitrary compulsion. It believes that the issue has to be handled with both firmness and sensitivity.

The lack of success of affirmative action in the international experience proves to be very disturbing. The United States, for example, can be considered a world leader in democracy and in upholding free market principles. Despite this enlightened stance on democracy and economic principles, workplace inequalities still persist irrespective of the fact that regulation, administrative policy and legislation to remove discrimination have been in place for the last forty years (Galagan, 1991).

The international experience highlights the complexity of implementing affirmative action successfully (Straw, 1989). This poses a serious concern if one considers the gross imbalances in equality that need to be addressed in South Africa.

The successful implementation of affirmative action policies and legislation is no doubt vital within the South African context given the fact that the disadvantaged constitute the majority of the South African population. To ensure that policies and programmes are effectively implemented, some form of evaluation and control will be necessary. Sachs (1992, p.127) cautions however that ... "legislation should avoid attempts to use bureaucratic measures and arbitrary figures to enforce top-down changes. Not only are these precariously at the mercy of future statistical opportunism, they invite resistance on the part of those having to give way, and can create discomfort for those who benefit".

Bennell and Strachan (1992) in turn assert that affirmative action legislation on its own is relatively worthless. What is required is the establishment of an appropriately structured agency, either internal or external to the organisation, to monitor employment practices that is not only well resourced, but also capable of speedily "prosecuting" employers who are found to have discriminated.

The complexity surrounding the control of affirmative action policies is clearly articulated by Bennell, Strachan and Sachs. Purcell (1979) further cautions that agreements such as affirmative action may not be implemented due to, inter alia, informal practices and customs in the workplace that are not supportive of affirmative action policies and programmes.

In summary, the effective control of affirmative action policies and programmes is a pre-condition for successful implementation. The issue is not simply how to control but what to measure in order to control effectively. This argument will form the basis of the research problem.

1.4 THE RESEARCH PROBLEM

This brings us to the main problem this research proposes to address, namely: how best can control systems for affirmative action policies and programmes be implemented in local government?

The Subproblems

(i) **The first subproblem**

To determine to what extent major stakeholders should be involved in the control of affirmative action policies and programmes.

(ii) **The second subproblem**

To determine to what extent affirmative action policies and programmes should be integrated with human resource management systems and strategic planning.

(iii) **The third subproblem**

To determine to what extent either internal or external agencies should be involved in the enforcement of affirmative action policies and programmes.

The output of this research will be an affirmative action control model for local government based on input from major stakeholders, expert opinion, affirmative action policy documents and the literature. It needs to be noted that as far as I am aware, nowhere has such a model ever been agreed upon by major stakeholders. This research will thus be the first attempt to develop such a model.

1.5 LAYOUT OF THE RESEARCH REPORT

The research report is structured in the following manner :

Chapter 2 : Literature Review

This chapter deals with the need for affirmative action as well as the international experience of it. Specific reference is made to the control of affirmative action. The theory of control is also dealt with. There is discussion on the key variables critical to the implementation of affirmative action policies and programmes. These variables have a direct or indirect bearing on the control of affirmative action. Finally, a theoretical Affirmative Action Control Model for Local Government is developed.

Chapter 3 : Research Methodology

In this chapter, the research methodology is examined. The method of data collection is discussed, followed by the various phases of conducting the research. Reference is also made to the population to be researched, sample size, sampling method, methods of data analysis and finally limitations of the research.

Chapter 4 : Research Results

A review of the research results is conducted in this chapter. Both qualitative and quantitative analyses of the data are presented.

Chapter 5 : Discussion and Interpretation of the Results

This chapter deals with an analysis of the results and they are integrated with the theory presented in Chapter Two. The Affirmative Action Control Model that was developed in Chapter Two is refined in this Chapter based on the research findings.

Chapter 6 : Conclusion and Recommendations

A summary of the results, conclusions and recommendations for further research are detailed in this chapter.

CHAPTER 2

LITERATURE REVIEW

2.1 INTRODUCTION

The ultimate goal of this research is to establish how affirmative action should be controlled in local government. The literature review will focus on the need for affirmative action; the international experience; control systems; and the key variables critical for the successful implementation of affirmative action.

2.2 THE NEED FOR AFFIRMATIVE ACTION

As we move towards a new political dispensation, calls for affirmative action are heralded at almost every platform and forum. Amid these calls is a vast amount of confusion about what the term "affirmative action" really means.

Albertyn (1993, p. 24) defines affirmative action as : "Affirmative action entails positive, remedial action taken to redress historic inequality and injustice. In a practical sense this means re-evaluating standards, attitudes and practices in respect of recruitment and soliciting; training; screening practices (testing, the merit criterion, qualifications and performance evaluation); internal labour markets and tracking systems; promotional practices; and the corporate culture (the affirmative environment) of the workplace".

Albertyn (1993) states that clearly defined goals must be set to remedy and redress past discrimination and disadvantages with the objective of extending equality. She points out that this view accepts that individuals do not compete on an equal basis. She further asserts that there are deeply entrenched forms of systematic discrimination and disadvantage which structured inequality between individuals and groups on the basis of race, gender, disability, sexual orientation, language and religion.

Albertyn's definition of affirmative action is confined to employment and will serve as a framework for the purpose of this research report.

A discussion on the need for affirmative action follows.

2.2.1 A Pre-condition for Peaceful Transition

A number of authors have stated that affirmative action is a pre-condition for peaceful transition. In this section the views of Van Zyl Slabbert and Mr Justice Pierre Olivier are stated.

Van Zyl Slabbert (1992) states that one of the conditions for successful transition towards a democratic outcome is, inter alia, civil-military agreements on how the civil service and particularly the security forces will be transformed to be made serviceable to a democratic government. He says a new government, particularly a democratically elected one, that inherits a disloyal civil service and especially an antagonistic security force will hinder a peaceful transition.

Mr Justice Pierre Olivier, vice-chairman of the SA Law Commission in turn said that affirmative action was needed even at great financial cost - to ensure lasting peace in South Africa. Furthermore, he asserted that : "Affirmative action may be discriminating, but it is in a sense healthy because the elimination of inequality will bring peace ... which makes these sacrifices a small price to pay". (The Star, 1992, p. 6).

It is hence imperative that at local government level a diverse management cadre exists to formulate public policy that will meet the needs and aspirations of a non-racial and non-sexist society.

2.2.2 Local Black Organisations

With over ninety percent of top managerial positions in the private and public sectors currently held by whites, local black business, political organisations as well as major trade unions have referred to the urgent need for affirmative action (Nacssa World, 1992). Maphele (1992) states that a new, mainly black government is likely to demand greater representation of blacks in key positions of the civil service.

2.2.3 Multi-cultural Society

South African organisations are increasingly becoming microcosms that reflect the reality of a multi-cultural society (Fuhr, 1992).

The challenges relating to the increasing diversity of the workforce include:

- meeting the needs of the changing workforce through flexibility, for example, by respecting the values of different cultural groups in the workplace;
- increasing productivity by effective management of diversity; and
- reflecting the diversity of the community in the organisation in order to meet the diverse needs of the multi-racial residents and ratepayers.

2.2.4 Human Resource Needs

Local government is currently reliant on white males to meet its skilled and managerial human resource needs (See Appendix 3). A more proactive strategy would be required to develop black managers to fulfil future human resources needs.

2.2.5 Local Government Negotiation Forum

The Local Government Negotiation Forum has adopted resolutions (see Appendix 1) specifically on affirmative action, adult basic education and training and development. These resolutions will be implemented as soon as Transitional Local Authorities are elected. This will most probably take place early in January 1994. The implementation of affirmative action in local government is a reality. How effectively it will be implemented and controlled are the major issues.

2.3 AFFIRMATIVE ACTION : THE INTERNATIONAL EXPERIENCE

The purpose of this section is to review the impact and control of affirmative action policies in the international experience with reference to India, Malaysia, Sri Lanka, America, Canada, Scandinavian Countries, Namibia and Zimbabwe.

2.3.1 India

In India affirmative action was rigidly defined in terms of quotas for schooling and employment. This was a low cost strategy since the Government accorded a low priority to developing the primary and secondary school system. Since a minimal investment was made in mass education very few untouchables and tribals had access to universities and employment on an equal basis. Despite these limitations, some measure of equality was achieved in that India does have a small and growing middle class of untouchables and tribals. India's attempts to improve the lot of the poor must be seen against the extremely low economic growth rate that failed to generate adequate revenue for educational and social service investment (Weiner, 1993).

Lessons from the Indian experience indicates that affirmative action goals are hardly achievable under poor economic performance. Secondly, low cost strategies seem to benefit a minority whilst the majority of the population is still marginalised.

2.3.2 Malaysia

After independence in 1969, the Malay community became the ruling political party. The rest of the population constituted a sizeable Chinese minority who exercised considerable financial and political control, and a very small Indian minority (Weiner, 1993).

The post-independence constitution made no reference to affirmative action but did include a clause which referred "special rights for Malays". These rights were not clearly defined. In 1969 the riots erupted and the Malay dominated government started to take the special rights issue seriously. This gave rise to the introduction of the new economic policy which was intended to accelerate economic growth and provide special benefits to the Malays. Subsequently, resources such as land settlement schemes, agricultural credit, price supports were allocated to the rural Malays (Weiner, 1993).

It is interesting to note that appointments in the civil service were made at a ratio of four Malays to one non-Malay. This resulted in resentment by the latter group, however, the Chinese alliance in government was prepared to go along with this policy. The deal was essentially that the Chinese take control of the economy and the Malays be responsible for control of the administrative services, the police and the army (Weiner, 1993).

Lessons for South Africa, and in particular in local government is that some form of trade-offs are necessary. The Malaysian experience is relevant to South Africa in that the ruling party was the party with a disadvantaged constituency.

2.3.3 Sri Lanka

The Sri Lanka experience with affirmative action can be described as a disaster case. What happened in essence is that a misguided affirmative action policy proved destructive for the country's political and economic development and for relations among the country's major ethnic communities (Weiner, 1993).

In 1956 the Sinhalese Buddhist political party seized power and did so with the proviso that it would elevate the status of the Sinhalese. The minority group, the Tamils were comparatively better educated than the Sinhalese and occupied a major proportion of government offices. Within a decade the situation was reversed. Tamil composition of the civil service dropped from fifty to fifteen percent. Preferential selection policies favoured Sinhalese speaking applicants, which in essence automatically excluded the majority of Tamils who were not Sinhalese speaking (Weiner, 1993). Opportunities in the private sector were limited since much of the private sector was nationalised. Moreover, economic growth was exceptionally low. Resentment finally culminated in an armed struggle that began in 1957 and continues today (Weiner, 1993).

Lessons for local government is that the unilateral implementation of preferential policies will inevitably lead to resentment and possibly civil war. The involvement of all the stakeholders is vital in policy formulation and implementation.

2.3.4 United States of America

Affirmative action in the USA has an essentially legal basis with disputes finally being settled in the courts. The Civil Rights Act of 1964, Title VII compelled organisations who practice discrimination to take "affirmative action" to redress imbalances. A year later President Lyndon Johnson issued

an Executive Order requiring "affirmative action" in employment and promotion for all Federal contractors, even if they never discriminated. Then in the 1970's the Equal Opportunity Employment Commission went a step further by establishing quotas, or statistical goals, for the employment of certain minority groups (Weiner, 1993). Mandatory programmes are common in the public sector and large organisations in the United States of America (Albertyn, 1992).

Affirmative action created two perceptions in America. To some it meant an active or affirmative effort to recruit and promote minorities and to end discriminatory practices. It included efforts by universities and firms to actively recruit minorities and women, and create special programmes to improve the skills that minorities needed to effectively compete in the labour market. To others affirmative action meant mandatory results through quotas. The controversy continues over quotas while goals and timetables are generally acceptable as a means of expanding opportunities for minorities (Weiner, 1993).

The American experience again highlights quotas as contentious with goals and time tables being more acceptable.

2.3.5 Canada

In Canada all federally regulated employers in the private and public sectors have to comply with the following terms of the Employment Equity Act (Albertyn, 1992).

- Employers are bound to identify and remove artificial barriers to hiring, promotion and training.
- Employers must work to achieve a representative workforce reflecting the demographic make-up of the population in the area.

- Employers must prepare an annual report on their results in respect of the above, showing inter alia, the representation of groups in respect of hiring, salary, occupation, promotion and termination.
- Employers must prepare an annual employment equity plan with time-tables and goals.

The Canadians have achieved more with this form of control in contrast to the previously low success rate of voluntary programmes (Albertyn, 1992).

2.3.6 Scandinavian Countries

In the Scandinavian Countries, the collective bargaining process takes preference. The law plays an auxiliary role or operates in the absence of any collective bargaining agreement. The key issue is to what extent the law requires that employers with collective bargaining take race and gender issues into account and include affirmative action or positive action measures in their agreements.

In Sweden the law requires that irrespective of collective bargaining agreements (Albertyn, 1993) :

- Working conditions and environment that suit men and women (toilets, size of machinery); and
- that the employer must ensure that applications are received by both sexes when a vacancy occurs.

In the absence of collective bargaining agreements employers are compelled to make a special effort to receive applications from the under-represented sex and see that the proportion is progressively increased (Albertyn, 1992).

Collective bargaining is well entrenched in the South African industrial relations environment. This makes the Scandinavian experience relevant for South Africa.

2.3.7 Namibia

In terms of Article 10 of the Namibian Constitution of 1991, all persons are equal before the law and no person may be discriminated against on the grounds of sex, race, colour, ethnic origin, religion, creed or socio-economic status. Although the Namibian Constitution has created the legal space for legislative programmes incorporating Affirmative Action, to date no such concrete legislation has been enacted (Thompson, 1992).

Lüff (1993) states that the Namibian Government accepted as part of its policy on labour and manpower development the policy of tripartism. This in effect means that any future affirmative action legislation will have to be negotiated by government, employers and employee organisations.

2.3.8 Zimbabwe

As part of the political agenda after independence in 1980, special efforts were to be made to enhance the power and authority of blacks. One way of achieving this objective was to Africanise the civil service. This culminated in the Presidential Directive to the public service commission on the restructuring of the civil service (Hofmeyr and Whata, 1991).

The effects of affirmative action was dramatic. At the senior levels whites made up 37% (or 5 207 out of 13 918) in the professional, technical and administrative category in 1989, and 1,3% (or 1 340 out of 100 016) in the same category in 1991. It is interesting to note the increase in the size of the service from approximately 56 000 in 1981 to 165 000 in 1989. The lowering of proportion of whites in the public service was due to this expansion, emigration and retirement (Hofmeyr and Whata, 1991).

The Presidential Directive was indeed Zimbabwe's only form of controlling affirmative action. It was not conceived as part of employment policy, but rather as a political statement on the necessity to redress racial imbalances. It was also directed at the parastatals and the private sector, but involved no legal basis for implementation in these areas. The Presidential Directive was only legally binding on the public service commission (Hofmeyr and Whata, 1991).

2.3.9 Conclusion

The international experience clearly indicates that unilateral imposition of affirmative action legislation had limited success, since those who were not benefitting, highly resented the law in this regard, in particular in poor economic growth circumstances. Sri Lanka is a case in point where resentment led to an armed struggle. In contrast, affirmative action in Malaysia was relatively successful since the Malays were essentially not favoured at the expense of the minority Chinese and Indian populations. Economic growth provided sufficient opportunities for everybody.

Secondly, leaving the control of affirmative action to the courts only is not ideal since the courts may have different rulings on similar cases. However, some form of legal agreement is necessary to control affirmative action.

A collective bargaining process, whereby the state, employee and employers organisations co-determine public policy on affirmative action is perhaps the best option in that it creates space for all major stakeholders to be involved.

2. CONTROL

The purpose of this section is to discuss the theory on control.

2.4.1 Introduction

Affirmative action is central to the survival of local government and therefore a strategic issue. In view of this appropriate control systems should be developed to facilitate successful implementation.

Steiss (1982, p. 265) highlights the delicate decisions and potential problems associated with control systems: "Controls have no value in themselves. As with plans and organisation, the value of controls is instrumental to goal achievement. In practice, however controls often are imbued with some intrinsic value. Long as they serve any useful purpose, controls are retained 'for their own value' ... Too much control can stifle initiative and encourage behaviour designed to 'beat the system'. Too little control unnecessarily increases the probability that desired results will not be achieved".

In the public sector systematic application of control techniques have recently been employed (Steiss, 1982). Increased emphasis on transparency in local government makes the adoption of effective management control techniques critical. This is in line with increased pressure on accountability in the public sector (Steiss, 1982).

In the sections that follow attention will be given to a definition of control; characteristics of control; types of control; control constraints; the control process; key variables; key success factors and performance measures.

2.4.2 Definition of Management Control

In the literature, many definitions of control exist. For the purpose of this study Otley's definition is used.

Otley (1987, p. 20) defines management control as ... "the overall activities of the organisation, undertaken in pursuit of its overall goals and objectives". He states that it involves both day-to-day operational control and long-term strategic planning. In essence, it is concerned with the interface between these two activities, i.e. it seeks to ensure that the tasks which are being carried out will in fact lead to objectives being achieved.

Maciariello (1984) considers management control as part of the management process, namely planning, organising, leading and controlling. The planning phase in affirmative action constitutes the formulation of appropriate policies as well as the development of strategies. The leading and organising phase are dependent upon the ability of the leadership to implement the policy and programmes by enabling staff and to allocate the required resources. In the final analysis some form of control is necessary to ensure what is planned is implemented according to predetermined goals and standards.

The next section deals with characteristics of control.

2.4.3 Characteristics of Control

Drucker (1974) identifies three major characteristics of control.

i) Control can be neither objective nor neutral

In any social situation the act of measurement is neither objective nor neutral. It is subjective and of necessity biased and as such changes both the event and the observer. This implies that it changes the perception of the observer - if it does not altogether create his

perception. Events singled out for being "controlled" are indicative of their importance and hence acquire value.

In an affirmative action environment the setting of employment quotas to improve workforce diversity could be perceived as a mandate to make token appointments and the subsequent lowering of standards. It is therefore critical that policies should be stated in clear and unambiguous terms to minimise distorted perceptions.

In view of the above it is clear that one needs to carefully determine what to measure. For example, if the number of blacks trained is a key issue to be measured, an emphasis may be placed on churning out vast numbers of black trainees without providing opportunities for meaningful participation in the real world. This kind of scenario will only promote training at the expense of empowering employees to apply their skills on the job.

ii) Controls need to focus on results

Organisations exist to contribute to society, the economy and the individual. As such, results exist only externally - i.e. in the economy, society and with the customer. The customer alone creates "profit". Everything inside the organisation creates cost. It is easy to record and quantify efficiency, that is doing things right inside the organisation. In contrast, it is far more complex to measure effects that is, the impact on the external environment.

Drucker asserts that the central problem is that executives in large organisations are isolated from the external environment. What is therefore required is a continual scanning of the external environment. It is in this area that modern controls can make a contribution.

It would be inconceivable for a chief executive officer in a future non-racial, non-sexist local government environment to meet the needs of the community unless he/she understands the context of the changed circumstances. Since the chief executive officer will play a key role in making affirmative action strategies happen it is vital that he/she has access to meaningful information external to the organisation.

iii) Controls are needed for measurable and non-measurable events

Business results that can be quantified in financial terms are easy to measure. These events have to do with past economic performance and are normally internal to the organisation. The outside events that determine the success or failure of a business are not measurable until it is too late to have control.

Measurements which fail to identify assumptions with respect to non-measurable statements that are being made can misdirect the organisation. For example, local authorities that fail to attract or hold able black employees will not survive. Retention of the services of such skilled staff is more important than simply meeting the annual budget for the city or town. This kind of problem is difficult to quantify yet critical to the survival of the organisation.

Finally, the danger is that organisations tend to focus on measurable areas which implies less "real" control. What is hence required is to maintain a balance between measurable and non-measurable areas. In essence, measurable areas fail to capture non-measurable variables in the external and internal environment. What is required is an early warning system that will proactively identify those variables that can negatively impact the control of affirmative action policies and programmes, such as for example, setting-up black employees for failure by their white counterparts. It is all very well to measure the

number of black managers appointed. However, it becomes more difficult to measure the frustrations experienced by black managers working within a predominantly white male management team.

The next section deals with types of control.

2.4.4 Types of Control

Otley (1987) identifies three types of control that can be incorporated into a management control system : behaviour controls, output controls and input controls.

Behaviour controls are mechanistic by nature in that they specify exactly what tasks are required and how they should be carried out. This implies that behavioural controls call for very little judgement on the part of subordinates and can stifle initiative and hence be counter-productive. This can also lead to tunnel vision in that a subordinate would carry out instructions even though it becomes apparent that the desired objective is not going to be achieved. For example if the organisation targets certain posts for disadvantaged groups, appointments will be made regardless of the availability of suitable candidates in the labour market. This can lead to the appointment of employees who are not suitable.

Output control means that targets are set for subordinates but the means by which they are to be achieved are not specified (Otley, 1987). For example, supervisors may be requested to improve the trainability levels of his/her so-called "unskilled" labour force. The means need to be established by the supervisor, eg. by implementing literacy and numeracy training programmes to raise trainability levels.

Finally, input controls refer to resources to be utilised and are often used in conjunction with behaviour or output controls. This kind of control is nor-

mally used in the absence of clearly defined actions or results. For example, the long-term development of potential black supervisors is no guarantee that after completion of a training process that they will be successful supervisors. In such an instance one may be dependent upon using input controls such as appropriately designed competency-based learning systems and valid selection criteria, to achieve the desired results.

It seems that behaviour controls are more effective than output and input controls. However, they require that senior managers should know exactly how to do a job. Output controls in turn have a wide range of applicability, with the major difference being the time span for which goals are set. Input controls, in turn, are used extensively in conjunction with output and behavioural controls. By themselves, input controls are very weak as they do not allow effectiveness to be monitored.

Constraints to control will receive attention in the next section.

2.4.5 Constraints upon Control Systems Design

Maciariello (1984) asserts that a number of variables can either give direction to or constrain the design of a control system. These include style of management, organisation structure, goals and objectives, strategies, and policies.

The management style in essence determines the degree of participation in major decisions by subordinates. An autocratic management style will lend itself to unilateral decision making by top management. Senge (1990) states that giving orders is not the same as being in control. He cautions that power may be concentrated at the top but having the power of unilateral decision making is not the same as being able to achieve one's objectives.

For affirmative action to succeed all stakeholders will have to participate meaningfully in the development, implementation and control thereof. A top down managerial approach will be fatal in particular within local government since management is essentially white male.

The management style will in a sense determine the organisation structure. Glenn (1986) states that a properly documented organisational structure facilitates compliance with established corporate policies. It clearly establishes and specifically identifies authority and responsibility levels to assist in achieving compliance with policies and procedures. It fixes adequate levels of supervision, provides for observation and testing activities, and for verification that resources are used as planned.

In view of the above one needs to establish appropriate levels of authority to ensure compliance with affirmative action policies and programmes. However, such policies and programmes must be co-created by all the major players to ensure commitment rather than compliance. Compliance can for example lead to beating the system! For example, if a female is employed in a traditional male dominated environment she may not get the necessary support from her male colleagues to succeed. In fact, they may set her up for failure to prove that females are not competent.

Maciariello (1984) states that policies may be inconsistent with the objectives and goals of the organisation, so that goals become out of reach of even the most effectively designed control system. He adds that one may find, upon analysis, that policies tend to frustrate the expected results of decisions.

This may be true if, for example, an affirmative action policy prescribes a quota system for appointment to posts. This could result in the appointment of candidates who are merely appointed on the basis of gender or race without due regard for experience and educational achievements. This will ultimately lead to inferior performances and negatively impact organisational goals.

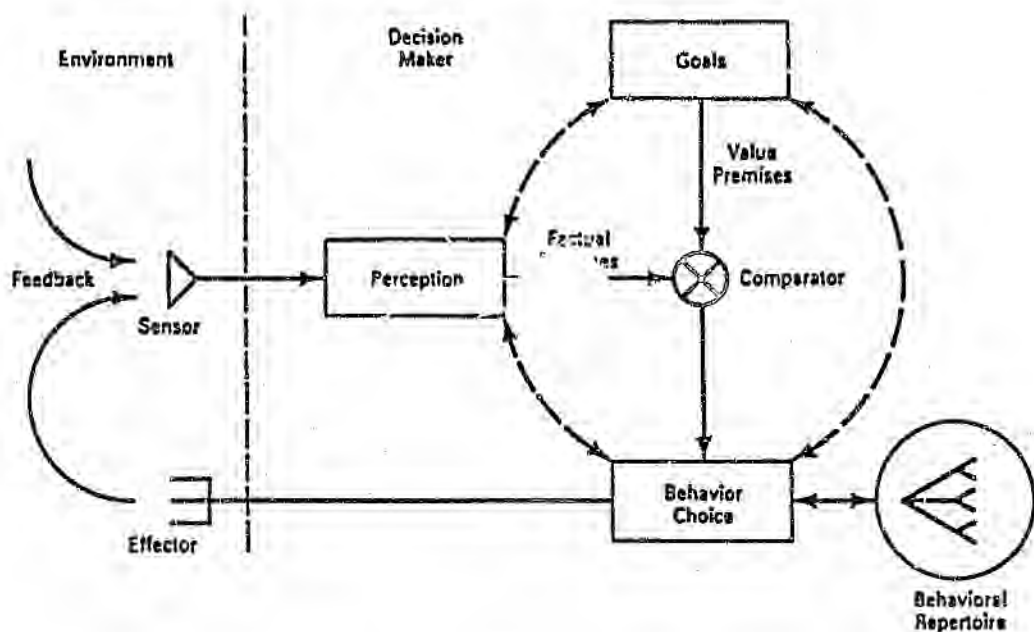
The next section will review the control process.

2.4.6 The Cybernetic Paradigm of the Control Process

The cybernetic paradigm of control implies a system that has the capacity to rectify itself and as such sustain itself. Such a process is depicted in Figure 2.1. This process is also referred to as a repetitive control process which may be described as follows (Maciariello, 1984) :

- i) Set goals and performance measures
- ii) Measure achievement
- iii) Compare achievement with goals
- iv) Compute variances as the result of the preceding comparison
- v) Report the variances
- vi) Determine causes of the variances
- vii) Take action to eliminate variances
- viii) Follow-up to ensure that goals are met

Figure 2.1 :
The Cybernetic Paradigm of the Control Process



Source : Maciariello (1984)

The cybernetic control model is based on a systems approach which in effect implies that it is a dynamic model. This makes the application of this model ideal in an affirmative action environment with its multi-faceted variables both internal and external to the environment.

This model assumes that decisions are formulated as a result of the interaction between the decision maker and his environment (i.e. internal and external environment).

The changing socio-political environment is influencing decisions regarding employment equity. Both unions (external environment) and employees (internal environment) are exercising pressure for employment equity.

Based on this data, decision makers construct certain beliefs concerning performance and the state of the external environment. These beliefs are referred to as factual premises. The factual premises are compared to the value premises which denote the overall goals of the organisation. If one embarks on an employment equity programme due regard must be given to closing the gap between factual premises and value premises. In a new local government context a diverse community will be served. To meet the needs of such a community the local government's workforce should reflect the composition of the community to provide effective services. The gap serves as the prime motivator for action.

Implementing a decision is the next phase. The effector, a manager, activates the decision, thus serving as a change agent. Control is brought about by action taken by the decision maker who next seeks to determine the effects of the action. The new information is referred to as feedback. If it closes the gap it will be repeated in future similar circumstances. If goals are met routinely organisations will seek to improve levels of performance.

Feedback produces learning. If goals are not achieved, the process will be changed. Failing yet again the decision maker will either alter the performance measures distorting his or her perceptions of reality or alter his or her goals.

The advantage of this control process is that it is an open system in that it interacts with both the external as well as the internal environment. To control affirmative action effectively inputs from both the internal environment eg. employees, councillors, management as well as the external environment, eg. ratepayers, unions, civic associations and government should be considered.

Affirmative action is a complex intervention to implement. The model via its feedback loop will facilitate life long learning and hence ensure continued improvement.

Finally, it is important to identify and control the key variables as well as determine how to measure them. The next section will deal with these issues.

2.4.7 Identification of Key Variables

Key variables (or critical success factors) are those relatively few environmental variables that are crucial to the attainment of goals and objectives. These key variables become the basis for the establishment of appropriate performance measures, reward structures and resource allocation procedures (Maciariello, 1984). Once the key variables are identified, the control system is indeed given focus.

To identify key variables we need to ask : to which variables in our internal and external environment are our goals and objectives most sensitive? Gray and Matson (1987).

2.4.8 Key Success Factors and Performance Measures

Fitz-enz (1990) states that to assess whether human resource interventions add value, some form of measurement and evaluation are necessary. He further states that leading management experts over the years have noted that measurement is a fundamental requirement of business management. It is a truism that : "You can't manage what you don't measure".

Variables that are measured should be those that are important given the strategy we have selected in pursuit of our goals and objectives. Secondly, to prevent confusion, only those variables that are crucial should be "measured" even if they are qualitative. Key success factors should not be omitted from the control system because they are qualitative (Maciariello, 1984).

2.4.9 Summary and Conclusion

Control is essential to ensure that organisational goals are achieved. The process itself needs to be holistic in a sense that both internal and external variables are considered. Control systems must be carefully designed so that misdirected values are not associated with it. Key variables should be identified and measured.

The sensitivity surrounding affirmative action in a highly explosive socio-political environment will necessitate some form of control. On the one hand advantaged groups may resist change by setting up members of disadvantaged groups for failure. The control system must be fine tuned to pick up these subtle forms of sabotage. Likewise, the retention of high level black personnel must be carefully monitored in an environment where poaching is rife. Again, the control system must be sensitive enough to allow management to take appropriate action timeously.

2.5 KEY VARIABLES CRITICAL TO THE SUCCESSFUL IMPLEMENTATION OF AFFIRMATIVE ACTION POLICIES AND PROGRAMMES

The purpose of this section is to review the key variables in affirmative action. Data is taken from expert opinion as well as from the literature. These variables need to be evaluated and measured as part of the control process.

2.5.1 The Role of Stakeholders

This section deals with the role of stakeholders in the planning, development, implementation and control of affirmative action policies and programmes. The term stakeholder was first used to refer to stockholders as the only group to whom management need to be responsible according to Freeman (1984). He thus defined the term stakeholders as those groups without whose support the organisation would cease to exist. This definition clearly suggests that an organisation has obligations not only to shareholders and customers, but to all individuals and organisations with which it has transactions and relations (Sturdivant, 1979).

Hofmeyr (1993) asserts that affirmative action in the past was in many ways unsuccessful since management followed a "top-down" approach in initiating and driving such policies. He further states that participation by other stakeholders is necessary for the following reasons :

- People understand more about something they have contributed to.
- People are more committed to something they have been involved in formulating.
- The knowledge, experience and insights of the people at whom the process can be directed at can be tapped.
- If participation leads to the empowering of people, it releases the potential of individuals to perform effectively.

In sum, management would not be able to formulate an affirmative action strategy without understanding the needs and concerns of the stakeholder groups (Honeyborne, 1987). If an affirmative action strategy is formulated without the inclusion of all stakeholder groups, support would not be forthcoming and hence the strategy would not lead to success.

Hofmeyr (1993) proposes that managers, employees, trade unions and political parties should participate in decisions taken to implement affirmative action policies and programmes.

i) Managers

Black managers are important stakeholders in the design and development of affirmative action interventions. Their level of involvement can be on an individual basis, in task teams, on projects and in discussions on affirmative action. In addition, surveys can be a useful way to evaluate opinions and perceptions and should be used continually to control the effective implementation of affirmative action policies and programmes.

Likewise, white managers who could be a source of resistance must be included in the debate on policy formulation. Once again survey findings may be useful to identify concerns and opinions (Hofmeyr, 1993). Failure to address the concerns of both black and white managers could render affirmative action programmes unworkable.

ii) Employees

The input of employees is vital in the design and development of such programmes. After all they will be the main beneficiaries of such programmes. Many of them would like to improve themselves and would like to see affirmative action extend beyond the ranks of supervision and management (Hofmeyr, 1993).

Constant monitoring of the perceptions of affirmative action progress on the ground could serve as a powerful control mechanism.

iii) Trade Unions

Trade unions represent a vital stakeholder group and their involvement, input and observations are essential according to Hofmeyr (1993). This view is supported by Erntzen (1993) the General Secretary of the South African Municipal Workers Union (hereafter: SAMWU) who concurs that all parties should be involved. However, he believes that there can be no affirmative action programme under the apartheid system. His argument is that the current civil servants are overtly political and harbour innate hatred against inevitable transformation. In view of this, advancement programmes should focus on transforming institutions, enabling the underprivileged and shifting mindsets of white managers (Hofmeyr, 1993).

A survey conducted by Anthea McGregor and Associates (1993) indicates that organisations that had union presence, suggested that the union and shop stewards should be involved in every stage of development of the affirmative action process.

iv) Political Parties and Bodies of Civil Society

In a local government environment politicians as well as other representatives from the non-statutory bodies such as civic associations should have a input in policy formulation. Hofmeyr (1993) says that these groups can contribute towards shaping affirmative action legislation and hence will have an impact on how affirmative action policies will be controlled on a national level.

The writing is on the wall. The only way to legitimise affirmative action is via the stakeholder route. Management in South Africa will have to unlearn the traditional autocratic management style and adopt a more participative style.

2.5.2 Integration of Affirmative Action Policies and Programmes with Human Resource Management Systems and Strategic Planning

Waterman Jr, Peters and Phillips (1991) describe systems as all the procedures, formal and informal that drives the organisation, eg. training systems, cost accounting procedures, budgeting systems. They argue that if you want to understand how an organisation really does (or doesn't) get things done, look at its systems.

Systems are an intriguing reflection of the state of the organisation says Waterman Jr *et al* (1991). It is all very well paying lip service to a commitment to employment equity but making it happen is the difficult part. The point Waterman Jr *et al* attempt to drive home is that systems make strategy happen. The key learning point is that if we do not change our traditional human resource systems, affirmative action will remain unattainable.

2.5.2.1 Integration of Affirmative Action with Human Resource Management Systems

Fowler (1988) supports the notion that without systems, strategies will not work. He makes the point that securing genuine equality of opportunity needs to be seen as an integral element of human resource management, not as some form of optional extra. The traditional human resource systems fail to recognise the strength of a diverse workforce. There is therefore no logic in only appointing white males in skilled and managerial positions (Fowler, 1988).

Affirmative action equates healthy employment practice. To this end, a growing number of employees in the private and public sector have revamped employment procedures to achieve non-discriminatory practice as a matter of general employment policy (Fowler, 1988).

Pennington (1993) notes that important support systems for affirmative action strategies include : stringent recruitment and selection; orientation training; training and development; performance appraisal; coaching and mentoring; and integrated human resource systems.

2.5.2.2

Affirmative Action and the Strategic Planning Process

Organisations should move away from the traditional perspective that the shareholders are the only stakeholders that matter. To legitimise business practice, the requirements of all stakeholders, eg. workers, union, customers, suppliers, immediate community, shareholders and government must be considered (Pennington, 1993). In fact, Honeyborne (1987) makes the point that if corporate strategy failed to take account of stakeholder groups, support would not be forthcoming to ensure the continued survival of the organisation.

Affirmative action proved to be successful in organisations where it has been integrated in the business planning process with full commitment from the chief executive officer. This means targets were set that included racial profile objectives, training objectives, development objectives and budgets. In addition these organisations had spent considerable time "sensitising" all staff members to the requirements of affirmative action (Pennington, 1993).

Affirmative action has often been referred to as a topic which is much talk about but very seldom acted upon. It is clear from the above discussion that for affirmative action to be realised, it needs to be integrated with human resource management systems as well as the strategic planning process.

2.5.3 Organisational Culture

It is assumed that organisational culture reflects the values and norms of white male dominated boardrooms. In this kind of environment assimilation is promoted which in the end would fail to develop the full potential of a diverse workforce.

Kilmann (1989) states that culture has to do with the unwritten rules of the organisation. He further states that the fundamental diagnostic question is : Does the organisation's culture support the behaviour that is needed for organisational success today (or does it pressure members to live according to what worked yesterday)?

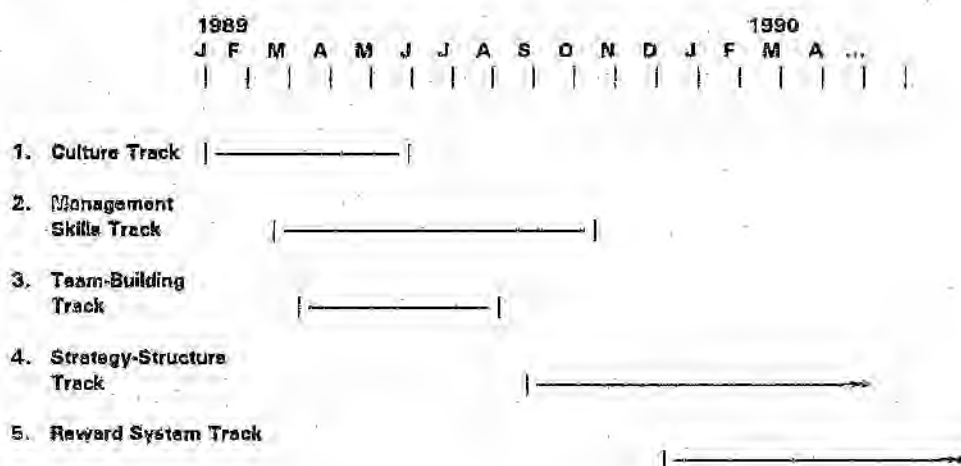
In local government the culture was established by white males who occupy almost all senior managerial positions. Rosmarin (1992) believes that the current reality demands being able to work with individuals from different backgrounds in a manner that enables them to reach their full potential, in pursuit of organisational objectives, without anyone being disadvantaged by irrelevant considerations. He notes further that racism, prejudice, stereotyping and negative attitudes towards diversity are major impediments.

In view of the above, organisational culture is indeed central to the successful implementation of affirmative action strategies and hence need to be carefully internalised and controlled. The key question is how do you change and control culture?

Kilmann suggests a five track approach to bring about change and renewal in organisations (see Figure 2.2). The first track, the culture track, enhances trust. It prescribes that the organisation increases communication, information sharing, and that a willingness must exist before any other improvement effort can succeed. To make affirmative action work a climate of trust is crucial. Secondly, the management track provides management with the skills to deal with complexity. For example, equipping managers with skills for managing diversity to effectively lead and develop a diverse workforce. The team-building track infuses a common vision of the new culture. All stakeholders co-operate to solve problems. Fourthly, the strategy-structure track develops a revised strategic plan, for example, in line with affirmative action. In this way all available and appropriate resources will be harnessed to suggest policy and map strategy.

Finally, a reward system track sustains all improvements by officially sanctioning the new culture. Strategies for affirmative action will demand hard word and commitment from those involved in implementation. Those who contribute to the new culture need to be rewarded accordingly.

*Figure 2.2 :
Scheduling the Five Tracks*



Source : Kilmann (1989)

In summary it is clear that a supportive organisational culture is critical to ensure the success of affirmative action. It certainly needs to be carefully audited since it has the potential to derail affirmative action initiatives. In fact it is difficult to detect some of the unwritten rules. An in-depth culture audit should hence be conducted prior to implementing affirmative action interventions.

2.5.4 Management/Union Relationship

In this section the union/management mode will be discussed. The union/management relationship is critical to joint policy formulation.

2.5.4.1 Management Style

Management style and union modes will determine how successful affirmative policies and programmes are controlled. Douwes-Dekker (1990) identifies three management styles (see Figure 2.3).

In the confrontation mode unions are accepted as inevitable but management still insists on prerogatives and maintains a strictly legalistic relationship with the unions. This is hardly a stance that will foster long-term relationship building. Also, the organisation is mainly concerned with the bottom line (Douwes-Dekker 1990).

The participative approach is a non-industrial relations approach driven by organisational development interventions such as establishing value statements, individual management to worker communication systems, performance related reward systems, career development and so on. These interventions are designed without consultation with unions.

Finally the relationship-building mode is the ideal mode to ensure legitimacy. Unions are empowered in the workplace with a trade-off obligation. Emphasis is on ensuring that unions can influence management decisions, by using a problem solving approach. This approach is ideal for dealing with a complex and contentious issue such as affirmative action.

*Figure 2.3 :
Union Modes and Management Styles*

M A N A G E M E N T S T Y L E S	RELATIONSHIP-BUILDING	3 7	6 ?	9 CO-OPERATIVE
	PARTICIPATIVE MANAGEMENT OD Techniques	2 UNITARIIST	5 CO-OPTIVE	8 RBO POTENTIAL
	CONFRONTING UNIONS	1 ADVERSE	4 AUTHORI-TARIAN	7 ?
		POWER CONFLICT	NON- DECISION	ACCOMMO- DATION
	UNION MODES			

Source : Douwes-Dekker (1990)

2.5.4.2 Union Modes

In the power-conflict mode the union/management relationship is at best adversarial. The union fights management on every proposed change. The question is: Is it possible to effectively implement affirmative action policies and programmes given such a relationship? Management in these circumstances will normally unilaterally implement interventions with very little success. How can control ever be effective in the absence of trust?

The non-decision mode is based on fear of failure and low propensity to union commitment. In this mode shop stewards either have to participate informally in management activities, so as not to lose influence on output and outcome which affects their members or to defy management and be labelled "irresponsible".

Finally, in the accommodation mode unions respond to increase productivity and other participative programmes instituted by organisations who elicit union support. In this mode both parties realise that they have to ensure the survival of the organisation. Affirmative action will have a better chance to succeed if this mode is adopted.

Purcell (1979, p.58) aptly summarises the management/union relationship, "The industrial relations policy (the same will apply in the case of affirmative action policy) is to utilise and reinforce an acceptance of a common interest between workers and management through policies which create an impression of participation and partnership whilst maintaining management's right of last say. The intention is to foster a bargaining relationship with the trade unions which integrates the two sides and depolarises the situation. This implies that the company will engage in behaviour which legitimises the role of unions, develops trust between the parties and encourages friendliness between the negotiators."

Purcell (1979) proposed that to achieve this kind of relationship it becomes necessary to expand the base of negotiations and consultations from terms and conditions of employment to other issues, traditionally considered as part of the management prerogative, where common interest can be debated. Joint working parties of management and shop stewards can discuss subjects such as job evaluation, affirmative action and so on.

In summary the management/union relationship is critical in legitimising, for example, an affirmative action policy and programme. If management prerogative prevails a one sided approach to control affirmative action will be adopted and the policy will be rendered meaningless.

2.5.5 Marketing Affirmative Action Policies and Programmes

Affirmative Action like any product or service needs to be marketed to ensure that the goals are understood by those involved who can then work to meet its objectives. This section will review how a marketing approach could contribute towards achieving affirmative action goals.

Detsanick (1983) says that a complex human resource intervention (such as affirmative action) can be marketed in very much the same way as one would sell a new product. He suggests that the following key questions need to be answered to establish the need for a product or service :

- What are the criteria to enable us to choose the issue?
- What would influence the timing of a decision to initiate a significant, time consuming, costly programme?
- Who will be affected - positively or negatively - by not addressing a human resource issue?
- Who are the clients, and what are they willing to buy into?
- What will it take to satisfy their needs?
- Just what are they willing to pay for that satisfaction?

Most of these questions have been answered in previous sections with regard to affirmative action. Since its introduction and implementation is extremely complex, the policy demands a sound marketing approach to ensure its success.

2.5.5.1 Perceptions

Ries and Trout in Fitz-enz (1990) asserts that marketing is the battlefield of the mind. They continue by saying the client's mind is made up of slots that are filled with perceptions. This means that one is dealing with subjectivity which implies that if you want to encourage change you have to change the perceptions of your clients.

Affirmative action in particular, means different things to different people. Failure to address these divergent perceptions will render the programme unworkable.

The questions is, where do

2.5.5.2 Needs Analysis

Detsanick (1983) says the starting point is a careful needs analysis. He cautions that the same effort to launch a new product is required to make complex human resource interventions work. Failure to conduct a comprehensive needs analysis for affirmative action purposes will be fatal to the programme.

Detsanick (1983) suggests that through focus groups, attitude surveys, hot lines and investigating discriminatory employment practices, we get clues as to the needs of our internal clients.

The needs analysis will be followed by segmentation of the market.

2.5.5.3 Segmentation

Fitz-enz (1990) says the key questions in segmenting your market are:

- Who are your customers?
- What do they really do and want?
- What are their attitudes toward your type of service?

In an affirmative action environment the market will have different segments. For example, black employees who have been denied opportunities in the past will perceive affirmative action as the opening up of opportunities. Equally, white employees may perceive it as the end to promotion. To management it may imply lowering of standards. These perceptions/needs must be addressed with appropriate programmes, systems and processes. The objective is to identify clients according to their interests, needs and expectations.

2.5.5.4 Marketing Strategy

The final phase would be to develop marketing strategies to satisfy the diverse needs, according to Fitz-enz (1990). For example, if local government wants to change its image to a non-racial, non-sexist employer it would need to launch an advertising campaign internal and external to the organisation to change current perceptions.

Finally, it is through timely and effective servicing of key customer needs that a contribution can be made towards achieving organisational goals with regard to affirmative action.

2.5.6 Enforcement of Affirmative Action Policies and Programmes

Affirmative action can be enforced at a national as well as at industry or organisational level. The purpose of this section is to examine some of the options.

2.5.6.1 National Legislation on Affirmative Action

Sachs (1992) cautions that the equal rights clause of the ANC's Bill of Rights should not be used to hinder the achievement of equal rights. In fact the crucial issue with regard to Article 14 (see p. 4)

is to ensure that the courts do not play down affirmative action programmes simply on the grounds that they are designed to procure the advancement of the disadvantaged groups (Sachs, 1992).

Affirmative action in the public sector will receive special attention. Clause 6 of Article 15 states that positive measures "shall include the implementation of programmes aimed at achieving speedily the balanced structuring in non-racial form of the public service, defence and police forces and the prison service according to the principles of representivity, competence, impartiality, and accountability" (Sachs, 1992, p.124).

This means that affirmative action at local government level will be accelerated. This does not necessarily mean that quotas will be imposed. In fact, Sachs (1992) says that quotas should never be the main means of redressing the injustices and inequalities created by apartheid.

Albertyn (1993) speculates that a future bill of rights for South Africa will have to be supplemented by legislation on discrimination, affirmative action and employment equity which will determine to what extent employers will be compelled or permitted to implement affirmative action. She states further (1993, p. 24) that such legislation can fall into one of the following categories :

- ** Affirmative action is voluntary and legislation relies on the courts to define the limits of affirmative action.
- * Detailed legislation which specifies the required nature and scope of affirmative action.
- * Legislation which allows the collective bargaining process to define the nature and limits of affirmative action".

Blumrosen, Blumrosen and Human (1993) propose in their draft affirmative action legislation for South Africa the establishment of an affirmative action commission which will advise employers and contractors and monitor their actions.

The statute allows trade unions and employers to negotiate their own affirmative action programmes so long as they are consistent with the principles of the Act. Where there is no union, an employer and the commission may agree on a plan which will produce satisfactory improvement in opportunities, even though the plan may differ from the statutory requirements (Blumrosen, Blumrosen and Human, 1993).

2.5.6.2 Joint Control Over Enforcement by Management and Trade Unions

Samwu (1993) states that affirmative action will only be effectively implemented if monitoring, evaluation and adjustments are jointly controlled by employer and employee organisations. To this end an Affirmative Action and Human Resources Development Board needs to be established. It should be composed of an equal number of representatives of management and the trade unions. Dimes (1992) proposes a similar board with very much the same duties.

In the Numsa Code of Employment (1992) it is recommended that the Industrial Council appoint a committee of experts which shall consist of suitably qualified professionals agreed by management and the unions. The committee will, inter alia, monitor the application of the code, settle disputes in connection with the code and so on.

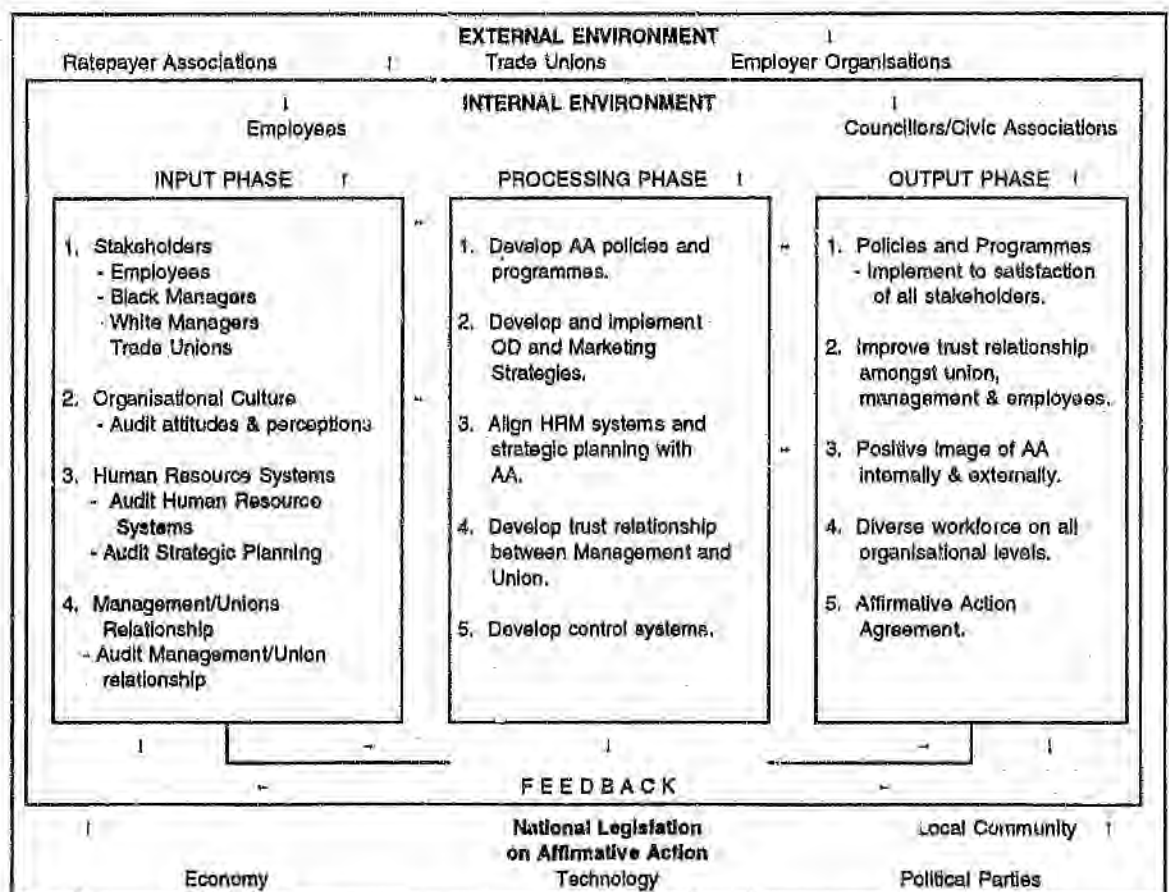
Given the long history of discrimination, some kind of legislation is necessary to create an environment conducive to affirmative action. The principles enshrined in such legislation must serve as a guideline

for unionised and non-unionised organisations. Finally, legislation must be flexible enough to allow all stakeholders to participate in hammering out customised policies and programmes as well as having some input to influence national policy.

2.6 AFFIRMATIVE ACTION CONTROL MODEL FOR LOCAL GOVERNMENT

Based on the international and local experience with affirmative action (as covered in the literature review) a theoretical affirmative action control model for local government was developed (see Figure 2.4) following a systems approach.

Figure 2.4 :
Affirmative Action Control Model for Local Government



2.6.1 Input Phase

The model assumes that a future government will legislate affirmative action. For such legislation to be effective it will have to be negotiated amongst government, local government, employer organisations and employee organisations. Furthermore, it is vital that enough flexibility be built into the law to allow individual local authorities and trade unions to negotiate policies and programmes that will best serve local needs. However, affirmative action principles enshrined in the law should be taken into consideration when formulating individual policies and programmes. Stakeholders such as managers (black and white), employees, shop stewards, union officials, employer organisations, councillors and civic associations would be involved in policy formulation and programme design.

For affirmative action to be effectively controlled, attitudes and perceptions should be continuously monitored. Likewise, human resource management (hereafter : HRM) systems and strategic planning should be reviewed. Special attention should also be paid to the level of trust that exists between management and trade union.

2.6.2 Process Phase

This phase will focus on processes. In this phase the development and implementation of affirmative action policies and programmes are a product of negotiation. Human resource management systems and strategic planning will be aligned to support affirmative action. Appropriate control systems will ensure compliance to affirmative action policies and programmes. These systems will be developed by management and the trade unions. Finally, affirmative action legislation will specify enforcement requirements.

Based on the input phase, organisational development (hereafter : OD) and marketing strategies will be employed to change negative attitudes and perceptions towards affirmative action (hereafter : AA), both internal and external to the organisation. Furthermore, processes will be developed to improve trust between management and the trade unions.

2.6.3 Output Phase

This phase will be the acid test. Major outputs in this phase include :

- Stakeholders satisfaction with the control of AA policies and programmes.
- An improved relationship of trust between management and the trade unions.
- Affirmative action is positively perceived by both internal and external stakeholders (including the community it serves).
- A more diverse workforce at all organisational levels which will ideally reflect the demographics of community it serves within a realistic time frame.
- An affirmative action agreement.

2.6.4 Feedback Phase

If outputs are not achieved special attention will be paid to the input and processing phases to rectify any discrepancies. The model also indicates constant input to both the external and internal environment with a view to change input and output requirements.

2.6.5 Conclusion

The Affirmative Action Control Model will be refined based on the research findings (see Chapter Five). This will enhance the validity of the model since the views of all the major stakeholders will be considered for inclusion.

2.7 THE RESEARCH QUESTION

In conclusion, this research into the control of affirmative action is unique, since nowhere in the literature has any empirical research been conducted in this area. Drawing on input from experts in affirmative action as well as the literature review has provided the context and framework in which the research questions below, are stated.

2.7.1 Main Question

How best can control systems for affirmative action policies and programmes be implemented to serve the interests of all major stakeholders?

2.7.1.1 Sub-Questions

- (i) What is the extent of involvement of major stakeholders in the control of affirmative action policies and programmes?
- (ii) Should affirmative action policies and programmes be integrated with human resource management systems and strategic planning?
- (iii) Which parties should be involved in the enforcement of affirmative action policies and programmes?
- (iv) How can affirmative action policies and programmes be enforced?

Finally the research will be used to refine the theoretical affirmative action control model for local government detailed in Figure 2.4.

CHAPTER 3

RESEARCH METHODOLOGY

3.1 INTRODUCTION

The purpose of this section is to deal with the methodology used to investigate the research questions identified in the previous two chapters. Specific attention will be paid to the method of data collection, the design and structure of the questionnaire, sample size and sampling method, method of data analysis and the limitations of the research.

3.2 METHOD OF DATA COLLECTION

The triangulation method of data collection was employed. Triangulation is broadly defined by Denzin in Pirow, (1990) as the combination of methodologies in the study of the same phenomenon. According to Babbie (1989), in triangulation several different research methods are used to test the same finding. He further advises that to get the best of all worlds, one's design should bring in more than one research method to bear on the topic.

For this study both the survey and documentary analysis methods were selected. In the documentary analysis method data from policy documents were content analysed in terms of the key variables critical to the control of affirmative action in local government. In the survey method, questionnaires were used to assess the key variables critical to the effective control of affirmative action policies and programmes.

The investigation was conducted in four phases.

3.3 PHASE ONE :

IDENTIFICATION OF KEY VARIABLES

The aim of phase one was to identify the key variables critical to the successful control of affirmative action policies and programmes. Key activities in this phase included : in-depth documentary research; a review of the literature on affirmative action; and obtaining expert opinion on critical success factors in controlling affirmative action policies and programmes. The output of phase one was used to develop the questionnaire for phase three. The process is described in section 3.5.

3.4 PHASE TWO :

CONTENT ANALYSIS

In this phase the content analysis technique was used to analyse local documentary data on affirmative action policies and legislation.

Pirow (1990) states that the basic objective of content analysis is to take a verbal, non-quantitative document and transform it into quantitative data. Stone *et al.* (1966) quoted by Bailey (1987, p. 300) defines content analysis as "... any research technique for making references by systematically and objectively identifying specified characteristics within a text".

Bailey (1987) states that content analysis is the equivalent in document study to survey research. He notes further that it is similar to structured analysis applied to documents rather than to observation of non-verbal behaviour. This means it is a structured document-analysis technique in which the researcher first constructs a set of mutually exclusive and exhaustive categories that can be used to analyse documents, and then records the frequency with which each of these categories is observed in the documents studied.

The major requirement is that categories be appropriate for the purpose of the study. After having defined the goals of the study, relevant categories can be constructed. Categories should be constructed by examining the documents to be studied and ascertaining what common elements they contain. Only in this way can the goals of mutual exclusiveness and exhaustiveness be met. Categories constructed without prior inspection of documents would no doubt exclude many important categories and include many that are superfluous or unnecessary (Bailey, 1987).

Groenewald (1989) states that the advantage of the content analysis design is that it provides sufficient opportunity to implement the requirement of controllability in science. This opportunity occurs in any design whose data base is readily available for re-examination. Furthermore, he concurs with the claim of some authors that documentary resources in general imply greater scientific objectivity than any other data sources. In addition, he notes that the documentary data source is the least reactive data and is hence free of disturbance.

After reviewing the literature, the goals of this research, as well as the documentary data, the following categories were identified as appropriate :

Categories

1. The extent of stakeholder involvement in affirmative action.
2. Integration of affirmative action with human resource systems and strategic planning.
3. Parties directly or indirectly involved in enforcement of affirmative action policy and programmes.
4. Setting affirmative action outputs.
5. How affirmative action policies and programmes are enforced.

A content analysis was conducted on the following documents :

- Affirmative Action and Human Resources Development Agreement.
(Prepared by : South African Municipal Workers Union (SAMWU), 1992)
- Code of Practice to End Unfair Discrimination in Employment Practice.
(Proposals submitted by NUMSA to Employers in the Iron and Steel, Motor and Automobile Manufacturing Industries, 1992)
- Fifteenth Report on the Signatory Companies to the Statement of Principles for South Africa.
(Sullivan Principles, 1991)
- Affirmative Action Policy and Human Resource Development Guidelines.
(Prepared by : The Centre for Community and Labour Studies for the Democratic Integrated Municipal Employees Society, DIMES, 1992)
- Elements of a Possible Affirmative Action Statute for South Africa: Research Project.
(Prepared by AW Blumrosen, RG Blumrosen and L Human, 1993)
- Namibian Draft Legislation on Affirmative Action, 1992.
- South African Chamber of Business Policy on Affirmative Action (SACOB), 1993.
- Federation of Employers' Organisations Policy on Affirmative Action Policy , 1993.

3.5 **PHASE THREE :** **QUESTIONNAIRE DESIGN**

According to Pirow (1990) the most frequently used method of collecting measurable and observational data for survey research is that of the questionnaire. As the research involved the perceptions of stakeholders nationally, the questionnaire was considered the best method of collecting survey data.

Babbie (1989) states that the term questionnaire suggests a collection of questions, but an examination of a typical questionnaire will probably reveal as many statements as questions. When using statements, the researcher tries to determine the extent to which respondents hold a particular attitude or perspective. Furthermore, both questions and statements may be used profitably giving the researcher more flexibility in the design of items and can make the questionnaire more interesting as well. Thus, this research involved the use of both statements as well as questions. Some of the pitfalls of questionnaire design that Bailey (1987) outlines has relevance to this research and are as follows :

i) Double-barrelled Questions

Refrain from including two or more questions in one since such questions typically lead to hesitation and indecision on the part of the respondent.

ii) Ambiguous Questions

Ambiguity is sometimes difficult to avoid. Some words are themselves vague and ambiguous.

iii) Level of Wording

In the wording of questions the educational level of respondents needs to be taken in consideration. The wording can greatly affect the answers received.

iv) Abstract Versus Factual Questions

Questions should refer to concrete and specific matters and have specific answers if possible. Abstract concepts in turn are much more difficult to answer. In addition these questions may have low reliability.

v) Leading Questions

Questions should be carefully structured in order to minimize the probability of biasing the respondent's answer by leading him or her and thus artificially increasing the probability of a particular response.

Researchers have two options. They may ask either open-ended or closed questions. Open-ended questions are used for complex questions that cannot be answered in a few simple categories but require more detail and discussion. They are used to elicit the respondents' unique views, philosophy, or goals (Bailey, 1987).

Closed questions in turn should be used when the answer categories are discrete, distinct, and relatively few in number. Most closed questions measure variables that are nominal (eg. gender), ordinal (eg. educational level), or internally measured questions that have been collapsed into relatively few ordinal categories (Bailey, 1987).

As the data was non-parametric, a five point Likert rating scale was used. The idea of using scaling methods is that instead of learning whether or not a respondent is favourably inclined on an issue, one gets a measure of his or her actual position on the attitude continuum. Instead of being satisfied with differences in kind, one attempts to measure differences in degree (Moser and Kalton, 1979).

The questionnaire was developed in consultation with practising affirmative action practitioners in leading South African organisations, in both the private and public sectors. Experts affiliated to professional bodies such as the Black Management Forum, the Institute for Personnel Management as well as the National Affirmative Action Alliance were interviewed for their inputs. Moreover, visiting international experts were also consulted. Finally, the questionnaire was refined using inputs from the literature review in Chapter Two.

The questionnaire used in this research was seven pages long, available in both English and Afrikaans and comprising open-ended and closed questions (see Appendix 4). It included four sections that the respondents had to answer. The questionnaire was accompanied by a covering note from the re-

searcher and research co-ordinator as well as a personal note from the researcher. A page on biographical information was attached.

In Section One, respondents were asked to indicate their level of agreement/disagreement or otherwise in terms of the involvement of stakeholders in the control of affirmative action in local government.

In Section Two, respondents were again asked to indicate their level of agreement/disagreement or otherwise in terms of how affirmative action should be linked to personnel and training policies as well as strategic planning.

Likewise in Section Three, participants had to express their opinions with regard to the enforcement of affirmative action in local government.

Section Four afforded respondents the opportunity to express their views on how affirmative action should be monitored and enforced in local government.

3.6 PILOT STUDY OF THE QUESTIONNAIRE

Leedy (1989) believes that all questionnaires should be pretested on a small sample in what is often referred to as a pilot study, to test whether there are any items that respondents may have difficulty understanding or that may not ask exactly what the writer of the questionnaire is seeking to determine.

The questionnaire was initially administered to a pilot group, composed of a human resources director, training officer and a councillor at the Johannesburg City Council. The aim was to ensure that the instrument was easily understood, consistently interpreted and to make amendments if and where required.

Feedback from the study revealed an urgent need to define key concepts to ensure consistency in answering questions. The group also advised that the Likert scale format must be standardised in all the sections where it is used. This would make filling in the questionnaire a less arduous and cumbersome process. The relevance of the questions were also questioned which resulted in major changes to the questions in section one of the questionnaire.

A similarly composed group including a union official as well as a typist were pre-tested using the revamped questionnaire. During questionnaire administration it appeared that the participants experienced no difficulty in interpreting and answering the questions. The duration for completion of the questionnaire did not exceed twenty minutes.

Feedback from the respondents was that the research instrument was easy to understand and to complete.

3.7 PHASE FOUR : REFINEMENT OF AFFIRMATIVE ACTION CONTROL MODEL

Finally, in this phase the findings of the survey and document analysis were used to refine the theoretical affirmative action control model for local government developed in Chapter Two. The input from major stakeholders was vital for incorporation into the model, since any model that ignores such input would lack credibility and thus would not be able to be implemented successfully.

3.8 POPULATION TO BE RESEARCHED

The research approach opted for an all stakeholder perspective. This approach is necessary especially in an environment whereby the exclusion of key stakeholders will have serious legitimacy problems. In view of this, the target population was carefully constituted.

The population was constituted as follows :

- Local authorities (i.e. municipalities) in the Republic of South Africa.
- Trade unions party to industrial councils or recognition agreements in the local government sector.
- Civic associations.
- Employer Organisations.

3.9 SAMPLE SIZE AND SAMPLING METHOD

The sample for the questionnaire in phase three was constituted as follows :

- i) The Major Cities, i.e. Bloemfontein, Cape Town, Durban, Johannesburg, Pietermaritzburg, Port Elizabeth and Pretoria Municipalities.
- ii) Major labour movements involved in the Major Cities.
- iii) Civic associations.
- iv) Employer organisations.

The method of sampling used was non-probability sampling. In non-probability sampling, there is no way of forecasting, estimating, or guaranteeing that each element in the population will be represented in the sample. This method of sampling is selected in situations in which it would be either impossible or inappropriate to select probability sampling (Babbie, 1989). Given the type of research to be conducted it was deemed appropriate

to select a sample on the basis of the researcher's and experts' knowledge of the population, its elements, and the nature of the research aims. This type of non-probability sampling is referred to as purposive or judgemental sampling by Babbie (1989).

This method of sampling was selected since the main stakeholders were chosen selectively rather than randomly. The Major Cities which constitute 30% of the local government sector, were for example chosen since they are currently playing a major role in shaping a new order in local government. The smaller local authorities will have limited influence on a future dispensation.

Questionnaires were furnished to the following stakeholders :-

ORGANISATION	STAKEHOLDERS	NO. OF QUESTIONNAIRES
Bloemfontein City Council	Management, Councillors & Unions	25
Cape Town City Council	"	25
Durban City Council	"	25
Johannesburg City Council	"	125
Pietermaritzburg City Council	"	25
Pretoria City Council	"	25
Port Elizabeth City Council	"	25
Civic Associations	Officials	26
Employer Organisations	Officials	4
TOTAL		305

The total targeted sample size was 305. Attempts were made to involve Councillors with divergent political affiliations. For example, in the case of Johannesburg City Council, questionnaires were distributed to National Party, Democratic Party, Conservative Party and Independent Councillors.

3.10 METHODS OF DATA ANALYSIS

This area of research is indeed a new area and can hence be considered exploratory research. Descriptive statistics were calculated on the questionnaire data and the model was built based on those statistics. Inferential statistics were also used. The NCSS package was used to analyse the data.

3.11 LIMITATIONS OF THE RESEARCH

This research is limited in that the perceived major stakeholders were involved. For example, only the seven Major Cities were involved in the research. The smaller local authorities were excluded. Likewise, only the civic associations and labour movements were included in the study. Ratepayer associations were not included in the study as they are represented by councillors.

Finally, it was not possible to test the model's effectiveness as part of this research report.

CHAPTER 4

RESEARCH RESULTS

4.1 INTRODUCTION

This Chapter deals with the documentary and survey research results. A discussion on the results follow in Chapter 5.

4.2 DOCUMENTARY STUDY

Affirmative Action documents relevant to South Africa and in particular to local government were selected for analysis. The aim was to compare and contrast common points of view on control of affirmative action.

The significance of the analysis is that it expresses common and different views on affirmative action control mechanisms. This information will be invaluable in refining the proposed affirmative action model in Chapter Two. Moreover, it will serve as an useful guide to unions and local government employers in negotiating affirmative action policies and programmes.

The documents listed in 3.4 were analysed in terms of five categories, as discussed in section 3.4. The content analysis technique was used to analyse the documents. The results are shown in the next section.

4.3 CONTENT ANALYSIS RESULTS

This section deals with a comprehensive analysis of the documents and summaries of common and different points of view on affirmative action control mechanisms.

4.3.1 Comparison of Policy Documents on Control of Affirmative Action.

Table 1 compares views on affirmative action control systems and processes. The results are detailed below :

TABLE 1 : COMPARISON OF POLICY DOCUMENTS ON AFFIRMATIVE ACTION

KEY : AA = Affirmative Action; HOD = Head of Department; CEO = Chief Executive Officer; HRD = Human Resource Development; Govt = Government

TOPIC	BLUMROSEN, BLUMROSEN & HUMAN (1993)	DIMES (1992)	FEDERATION OF EMPLOYER ORGANISATION (1993)	NAMIBIAN DRAFT LEGISLATION (1992)	NUMSA (1992)	SACOB (1993)	SAMWU (1992)	SULLIVAN CODE (1991)
1. <u>The extent of Stakeholder involvement in Affirmative Action</u>	<p>1. Minimal involvement by Government in regulating Affirmative Action</p> <p>2. Chief Executive Officer personally responsible in implementing programme</p> <p>3. Establish an Affirmative Action Committee representative of employees at all levels, including union representatives to advise the CEO and the Affirmative Action Office.</p> <p>4. The AA plan shall be formulated, implemented, monitored and evaluated in consultation with trade union or unions.</p> <p>5. Employment Equity Commission should meet with unions and AA Committee to secure worker and union evaluation of Affirmative Action programmes of the employer, as well as other interested parties.</p>	<p>1. Shop Steward and Union representative must be permitted to observe all interviews.</p> <p>2. Management must consult with Shop Stewards in the selection of personnel for training.</p> <p>3. Unions to be involved in reviewing and redesigning training programmes.</p> <p>4. Unions and Management should be jointly involved in monitoring and evaluating AA.</p> <p>5. Union representation in decision-making process of promotions.</p>	<p>1. Top management should be involved in implementation and monitoring of Affirmative Action.</p> <p>2. AA objectives should be determined in consultation with HOD's.</p>	<p>1. Employment Equity Commission will be an Independent Agency to regulate AA.</p> <p>2. Procedure : Consult employees and their representatives about the Affirmative Action programme.</p>	<p>1. Unions to be informed timeously of all vacancies.</p> <p>2. Selection criteria to be negotiated with the union.</p> <p>3. Shop Stewards to be informed timeously of all vacancies.</p> <p>4. Recruitment of foreigners to be negotiated with Trade Union.</p> <p>5. Employment interview questions to be determined in consultation with union representatives.</p> <p>6. The number of interviews to be negotiated at factory level.</p> <p>7. In the case of a dispute, psychometric test score results should be divulged to a psychologist appointed by NUMSA.</p> <p>8. NUMSA to be consulted on the standard format of reference check letters.</p> <p>9. NUMSA to be informed timeously of all promotions.</p> <p>10. Union to negotiate promotion policy.</p> <p>11. The issue of seniority and how it is accumulated shall be negotiated with NUMSA.</p> <p>12. Inequality in remuneration and benefits to be negotiated with NUMSA.</p> <p>13. Industrial Council to appoint Committee of experts to monitor application of the Code.</p>	<p>1. Govt should promote redressing inequalities.</p> <p>2. Govt should not be prescriptive.</p> <p>3. Unions should be consulted on AA only. They should not be called upon to define or veto programmes.</p> <p>4. Formulation, implementation and control of employee advancement programmes must be supervised by the CEO.</p> <p>5. Line Managers must be evaluated in achieving goals in AA.</p>	<p>1. Shop Stewards should jointly implement and monitor AA with management.</p> <p>2. AA and HRD programmes must be monitored, evaluated and adjusted by both management and the employees.</p> <p>3. Management should promote AA.</p>	<p>1. Management and Employees.</p> <p>2. Representatives of employees.</p>

TOPIC	BLUMROSEN, BLUMROSEN & HUMAN (1993)	DIMES (1992)	FEDERATION OF EMPLOYER ORGANISATION (1993)	NAMIBIAN DRAFT LEGISLATION (1992)	NUMSA (1982)	SACOB (1993)	SAMWU (1992)	SULLIVAN CODE (1991)
2. <u>Integra- tion of AA with HR systems and Strategic Planning</u>	<ol style="list-style-type: none"> 1. Ensure equality in wages, hours, terms, conditions and privileges of employment. 2. Revise wage inequalities and informal conditions to assure meaningful equality. 3. Review existing practices, procedures, tests and policies and remove or revise non-essential barriers to the inclusion of blacks and women. 4. Corporate environment and culture will be open to persons of diverse backgrounds and attitudes. 5. Recruit, employ, develop and promote qualified blacks and women into positions not open to them. 6. Provide career counselling. 7. Develop organisational talent to enhance promotability. 8. Train white employees, supervisors and managers to be open to diversity and helpful in assisting blacks and women in performing their jobs well and in accomplishing the transition into the corporate culture. 9. Reward managers who successfully engage in activities which include blacks and women in the work force. 10. Labour relations systems. 	<ol style="list-style-type: none"> 1. Recruitment; recruitment of foreign labour; selection; application forms, interviews; testing; reference checks; human resource development policy and training; career advancement and promotion; single conditions of employment (Equal remuneration and conditions of employment); Labour relations systems. 2. Removal of all forms of discrimination. 3. Dismissals. 4. Resolution of disputes. 	Recruitment, selection, testing, performance management, career advancement, training and development, conditions of service, removal of discriminatory practices.	<ol style="list-style-type: none"> 1. Review existing discriminatory practices in employment decisions such as: <ol style="list-style-type: none"> a) Recruitment procedures; b) Selection procedures for appointment or hiring employees; c) Selection of Training; d) The promotion, demotion or transfer of employees; e) Conditions of Service; f) Provision of special training programmes for disadvantaged groups. 	<ol style="list-style-type: none"> 1. Recruitment : <ul style="list-style-type: none"> • Internal Recruitment; • Recruitment of retrenched workers; • External Recruitment; <ul style="list-style-type: none"> - Press Advertising; - Recruitment Agencies; - Dept of Manpower; - Recruitment in Bantustans; - Recruitment of foreign skilled labour; - The use of referrals 2. Selection : <ul style="list-style-type: none"> • Application forms 3. Interviews 4. Testing 5. Reference checks 6. Training 7. Career advancement 8. Terms and Conditions of Employment : <ul style="list-style-type: none"> • Equal Remuneration • Dismissals 	<ol style="list-style-type: none"> 1. Elimination of all forms of overt, indirect or covert discrimination. 2. Enhancement of skills and capacities of disadvantaged groups. 3. Initial preferential policies the recruitment or promotions of disadvantaged groups in preference to others. 4. Employee development should be part of the business plan. 5. Review all current recruitment and promotion practices for overt, subtle or inadvertent discrimination. 6. Career planning. 7. Training and bridging programmes. 8. Newly advanced employees should have support systems. 	<ol style="list-style-type: none"> 1. Recruitment. 2. Selection and Appointment procedure. 3. Human resource development and training. 4. Career development. 5. Grievances, negotiations and disputes. 	<ol style="list-style-type: none"> 1. Equal and fair Employment Practice : <ul style="list-style-type: none"> - Initiation and Development of Training programmes for disadvantaged groups.

TOPIC	BLUMROSEN BLUMROSEN & HUMAN (1993)	DIMES (1992)	FEDERATION OF EMPLOYER ORGANISATION (1993)	NAMIBIAN DRAFT LEGISLATION (1992)	NUMSA (1992)	SACOB (1993)	SAMWU (1992)	SULLIVAN CODE (1991)
3. <u>Parties directly or indirectly involved in enforcement of AA Policy and Programmes</u>	1. Equal Opportunities Commission. 2. Involve unions and AA Committee in evaluation of programme and other interested parties.	An Independent Board consisting of an equal number of representatives from the Council and the Trade Unions in terms of a legally binding agreement.	Chief Executive Officer (Town Clerk), Heads of Departments as well as Council.	The Employment Equity Commission, an independent agency attached to the Ministry of Labour for administrative purposes.	Employer and Employee organisation (Trade Union).	1. The Chief Executive Officer and Line Managers with support from human resource managers and an Affirmative Action Officer. 2. Govt should promote rather than police the action of business to redress inequality.	1. Joint control by employer and employee. 2. An AA and Human Resource Development and Training Board to be composed of an equal number of management and trade union representation. 3. The Board to be assisted by an AA officer and sub-committee. 4. Decisions to be reached through consensus or alternatively on a vote of a majority of 2/3's of the Board.	1. Independent Agency. 2. Beneficiaries of AA.
4. <u>Setting Affirmative Action Outputs</u>	Set goals and timetables.	Diversity of work force to reflect society at all levels of the organisation.	Set goals and timetables.	Set goals and timetables.	Diversity of work force to reflect society at all levels of the organisation.	1. Focus on input-based policies - the enhancement of skills and capacities of disadvantaged groups. 2. Setting of goals and objectives.	Qualified quota provision.	Setting of goals and objectives.

TOPIC	BLUMROSEN, BLUMROSEN & HUMAN (1993)	DIMES (1992)	FEDERATION OF EMPLOYER ORGANISATION (1993)	NAMIBIAN DRAFT LEGISLATION (1992)	NUMSA (1992)	SACOB (1993)	SAMWU (1992)	SULLIVAN CODE (1991)
5. <u>How are Affirmative Action Policies and Programmes Enforced?</u>	<p>1. Employers are required to submit Affirmative Action Reports.</p> <p>2. Failure to submit reports timeously will result in paying expenses of the Commission in enforcing the requirements and a civil penalty of Rxxxxxx.</p> <p>3. The Commission may, upon its own initiative or upon the complaint of any person, investigate an organisation's affirmative action plan in consultation with unions, AA committees and other interested parties.</p> <p>4. Fines may also be imposed as well as not awarding any government contracts or subsidy during the term of non-compliance.</p> <p>5. Collective bargaining agreement between an employer and trade unions.</p>	<p>1. Collective Bargaining Agreement between employer and trade unions.</p>	<p>1. Management.</p> <p>2. Grievance Procedure.</p> <p>3. A code of conduct to eliminate discrimination.</p> <p>4. Disciplinary action against discriminatory behaviour.</p> <p>5. Chief Executive Officer and Heads of Department to enforce policy and provide Council with regular feedback on progress.</p>	<p>The Employment Equity Commission may obtain an order of court to enforce the final Review Panel (appointed by the Commission) to ensure compliance to the AA Act.</p>	<p>1. The Agreement is legally binding insofar as:</p> <p>1.1 any employer or employer's association ratifies the Code.</p> <p>1.2 the Code or provisions thereof are, by agreement, promulgated as provision of an Industrial Council under s 48 of the Labour Relations Act;</p> <p>1.3 Make provision for a Committee of Experts to monitor the Code.</p>	<p>1. Management's responsibility to enforce.</p> <p>2. Do not recommend enforcement by government.</p>	<p>Collective Bargaining Agreement between employer and the trade unions.</p>	<p>1. Requires annual independent evaluation of individual company activity in South Africa.</p> <p>2. Beneficiaries are consulted on evaluation of affirmative action programme.</p> <p>3. Publicly owned companies submit an independent auditor's report to verify monetary contributions and other quantitative information.</p> <p>4. White managers are evaluated on their performance in developing disadvantaged groups.</p> <p>5. Reports are verified by an Accounting firm;</p> <p>i) Total payroll.</p> <p>ii) Total employment.</p> <p>iii) Percent by which the lowest-paid employee's pay exceeds the MLL/HSL.</p> <p>iv) Total expenditure made for education, community development and social justice programmes.</p>

• MLL = The University of South Africa's Minimum Living Level for a family of five.

• HSL = The University of Port Elizabeth's Household Subsistence Level for a family of six.

Tables 2 to 6 summarise and quantify the results in Table 1.

4.3.2 Category One :

The Extent of Stakeholder Involvement in Affirmative Action

Seven sub-categories were identified in this category and the number of documents which concur with the sub-categories are listed below :

Table 2 :
Extent of Stakeholder Involvement in Affirmative Action

SUB-CATEGORIES	CONCUR	% CONCURRENCE
2.1 Union involvement in the development, monitoring and evaluation of Affirmative Action	6	75
2.2 Government enforcement in Affirmative Action	4	50
2.3 Management prerogative to monitor and evaluate Affirmative Action	2	25
2.4 Management and the unions should jointly control Affirmative Action	2	25
2.5 Employees should be involved in the implementation of Affirmative Action	8	100
2.6 Shop Stewards should be involved in the implementation of Affirmative Action	5	62

4.3.3 Category Two :

Integration of Affirmative Action with Human Resource Systems and Strategic Planning

In this category, documents were analysed to establish whether affirmative action is integrated with human resource systems and strategic planning.

The results are listed below :

Table 3 :
Integration of Affirmative Action with Human Resource Systems and Strategic Planning

SUB-CATEGORIES	CONCUR	% CONCURRENCE
3.1 Integration of Affirmative Action with Human Resources Systems	8	100
3.2 Integration of Affirmative Action with Strategic planning	1	12.5

4.3.4 Parties Directly and Indirectly Involved in Enforcement of Affirmative Action Policy and Programmes

In this category three sub-categories were identified and the number of documents that concur with the sub-categories are listed below :

Table 4 :
Parties Involved in the Enforcement of Affirmative Action Policy and Programmes

SUB-CATEGORIES	CONCUR	% CONCURRENCE
4.1 An external independent board such as an Equal Opportunities Commission	4	50
4.2 An internal independent board composed of an equal number of management and union representatives	3	37.5
4.3 Management only	2	25

4.3.5 Category Four : Setting Affirmative Action Outputs

In this category two sub-categories were identified. The documents examined reflected the following results :

*Table 5 :
Setting Affirmative Action Outputs*

SUB-CATEGORIES	CONCUR	% CONCURRENCE
5.1 Setting goals and timetables	5	62,5
5.2 Setting quotas	3	12,5

4.3.6 Category Five : How to Enforce Affirmative Action Policy and Programmes

In this category four sub-categories were identified. The analyses are reflected below :

*Table 6 :
How to Enforce Affirmative Action Policy and Programmes*

SUB-CATEGORIES	CONCUR	% CONCURRENCE
6.1 Annual Reports	8	100
6.2 Imposition of Fines	2	25
6.3 Collective Bargaining Agreement	7	87,50
6.4 Enforcement via Court Orders	2	25

4.4 CONCLUSION

The results of the content analysis are interpreted and integrated with the literature review and the survey research results in Chapter Five. Finally it was used to refine the Affirmative Action Control Model for Local Government in Chapter Five.

4.5 SURVEY RESEARCH RESULTS

The sample composition, the statistical techniques employed and the corresponding results of the survey will now receive attention. The results are discussed and interpreted in Chapter Five.

4.6 SAMPLE DEMOGRAPHICS

Three hundred and five questionnaires were mailed to council officials, councillors, unions, civic associations and employer organisations. One hundred and fifty two questionnaires were received which equates to a 49 percent response rate, which was regarded as adequate.

The low number of union, civic association and employer organisation replies were adequate in that they are highly representative of organisations involved in the Major Cities.

The number of questionnaires received per occupation group and city categories is detailed in Figures 4.1 and 4.2.

Figure 4.1 - Questionnaires Received
By Occupation Groups

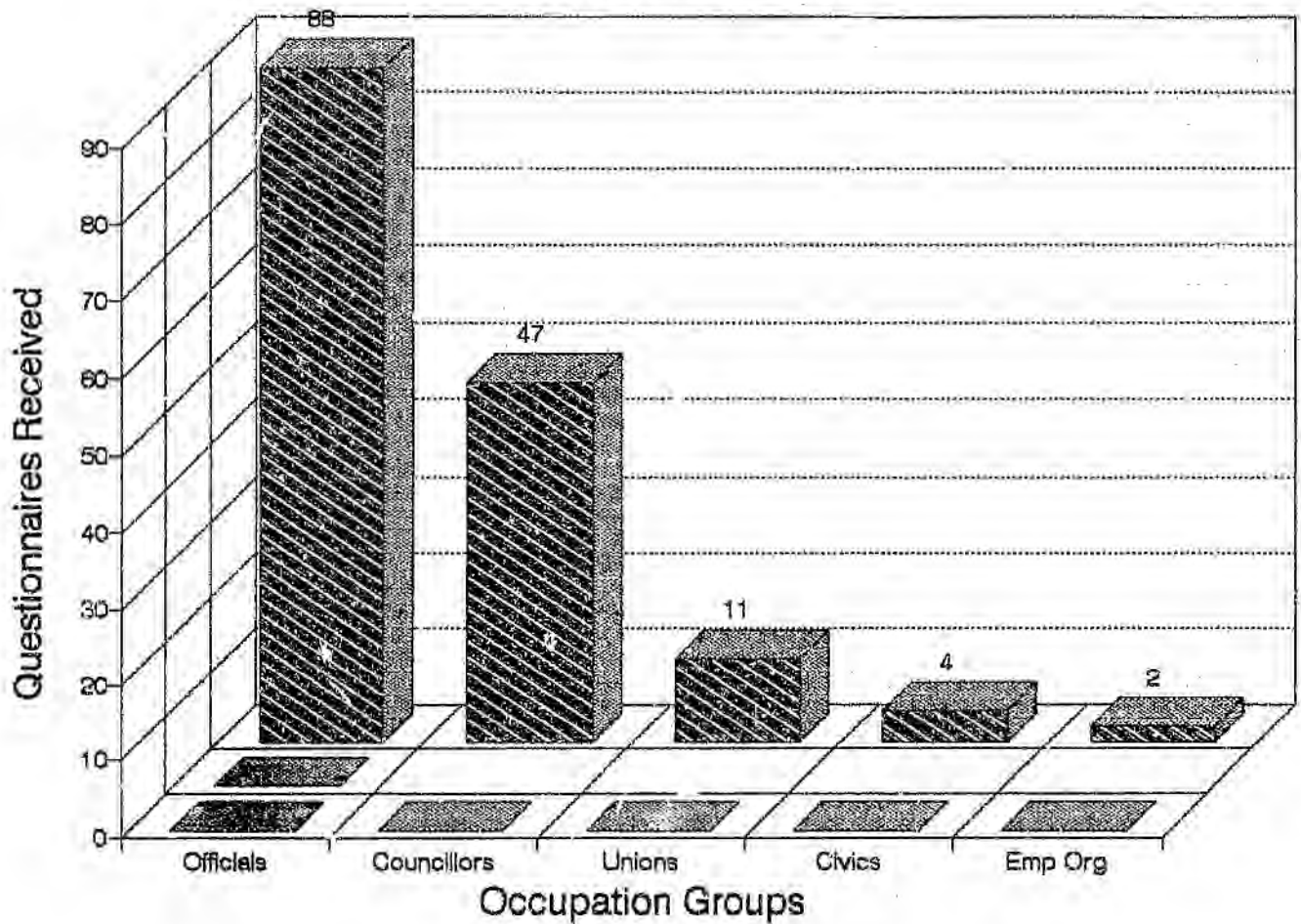
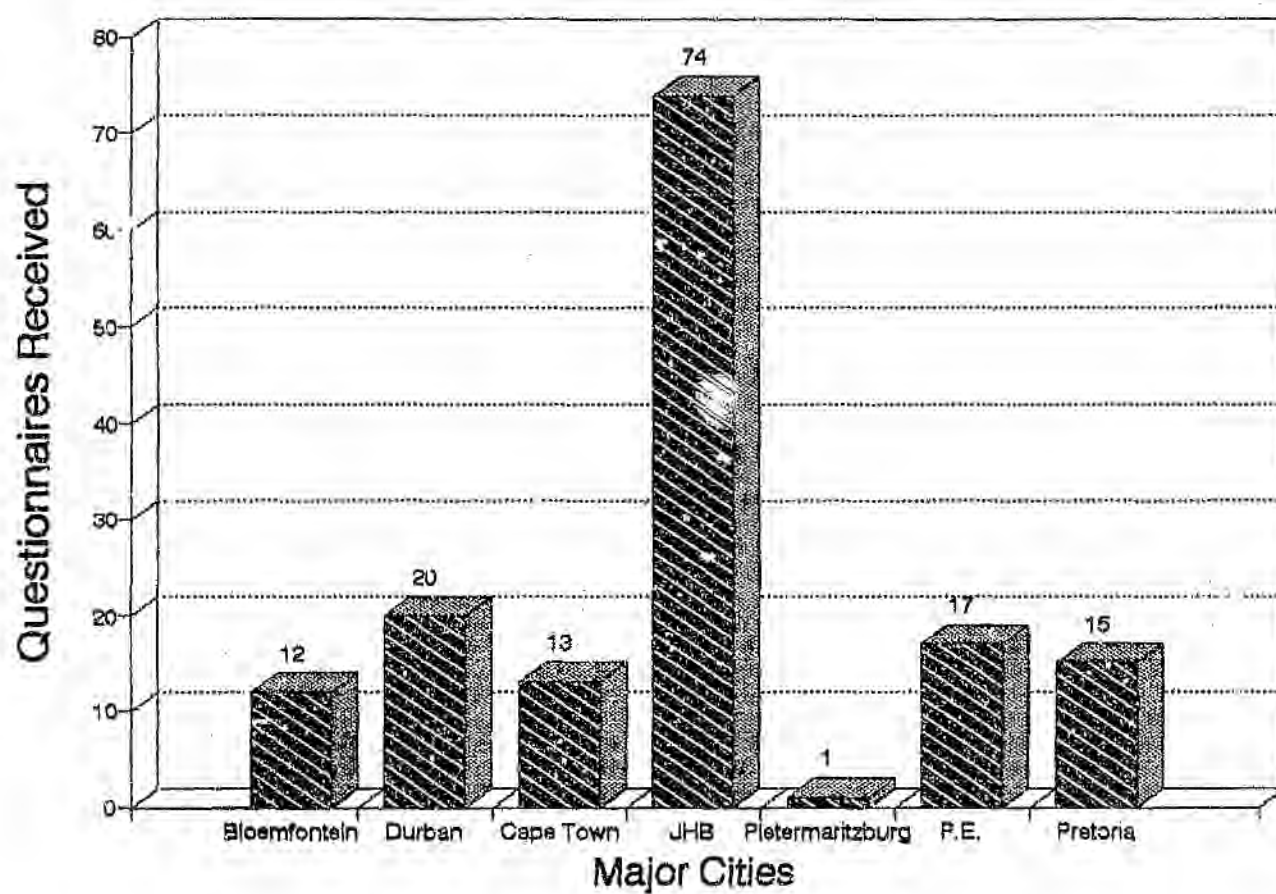


Figure 4.2 - Questionnaires Received
By Major Cities



4.7 SURVEY QUESTIONNAIRE

In Sections 1, 2 and 3 of the Questionnaire, the Categories 'Strongly Disagree' and 'Disagree' as well as the 'Strongly Agree' and 'Agree' Categories were consolidated, giving a three-point scale to simplify interpretation. The frequency percentages were calculated based on the raw data scores for each occupation group.

In addition to the employment of descriptive statistics to analyse the data, the chi square test of independence was also used. That is, the test was used to determine if the answers given to the questions were dependent on the occupation category of the respondent. According to Leedy (1989), for frequency evaluation, chi square is probably the most appropriate statistical technique. Moreover, it is the most commonly used nonparametric test, and is generally used in causal comparative studies.

The chi square test was calculated only for the occupation groups : council officials, councillors and union officials, since the sample of civic associations and employer organisations were too small for analysis purposes. The test was carried out at a significance level of 0,05 using the raw numbers. The null hypothesis being accepted implies that the occupation category does not influence the answer given. The null hypothesis being rejected implies that the occupation category does influence the answer given. The results of the chi square test are summarised in Tables 7, 8 and 9, and given in detail in Appendix 5.

4.7.1 Stakeholder Involvement

The purpose of Section 1 of the Questionnaire was to determine the extent of involvement of major stakeholders in the control of affirmative action policies and programmes. The results are tabled on the following page.

Table 7 - Responses on Stakeholder Involvement in Affirmative Action		Council Officials N=88	Councillors N=47	Unions N=11	Civics N=4	Employer Organisations N=2	TOTAL N=152	Chi Square Results
Questions	Rating	Frequency Percent						
1.1 Central Government should advise local authorities in developing affirmative action policies and programmes	Neither Agree Nor Disagree	9,09	10,87	-	-	50	9,3	Accept Ho
	Strongly Disagree & Disagree combined	46,59	43,48	18,18	-	50	42,4	
	Strongly Agree & Agree combined	44,32	45,65	81,82	100	-	48,3	
1.2 Shop Stewards should be involved in implementing affirmative action policies and programmes	Neither Agree nor Disagree	9,09	4,26	9,09	-	-	7,2	Accept Ho
	Strongly Disagree & Disagree combined	23,86	12,77	9,09	-	-	18,4	
	Strongly Agree & Agree combined	67,05	82,98	81,82	100	100	74,3	
1.3 Participation of Disadvantaged managers in the development and implementation of affirmative action programmes is vital	Neither Agree nor Disagree	6,82	10,64	9,09	-	-	7,9	Accept Ho
	Strongly Disagree & Disagree combined	4,55	8,51	-	-	-	5,3	
	Strongly Agree & Agree combined	88,64	80,85	90,91	100	100	86,8	
1.4 White managers involvement in the development of affirmative action policies and programmes	Neither Agree nor Disagree	5,68	4,35	-	-	-	4,6	Accept Ho
	Strongly Disagree & Disagree combined	2,27	4,35	18,18	25	-	4,6	
	Strongly Agree & Agree combined	92,05	91,30	81,82	75	100	90,7	
1.5 Affirmative action policies should be negotiated between management and the trade unions	Neither Agree nor Disagree	3,45	4,44	-	-	-	3,4	Accept Ho
	Strongly Disagree & Disagree combined	10,34	12,33	-	-	-	10,1	
	Strongly Agree & Agree combined	86,21	82,22	100	100	100	86,6	
1.6 All employers should be consulted on the development of affirmative action programmes	Neither Agree nor Disagree	6,90	8,51	-	-	-	6,6	Accept Ho
	Strongly Disagree & Disagree combined	22,9	19,15	-	-	50	19,9	
	Strongly Agree & Agree combined	70,11	72,34	100	100	50	73,5	
1.7 Councillors should be involved in negotiating affirmative action policies	Neither Agree nor Disagree	9,09	10,64	9,09	-	-	9,2	Reject Ho
	Strongly Disagree & Disagree combined	32,95	8,51	9,09	50	50	24,3	
	Strongly Agree & Agree combined	57,95	80,85	81,82	50	50	66,4	
1.8 Civic Associations should play a role in developing affirmative action policies	Neither Agree nor Disagree	15,91	12,77	9,09	-	50	14,5	Accept Ho
	Strongly Disagree & Disagree combined	40,91	38,30	27,27	-	50	38,2	
	Strongly Agree & Agree combined	43,18	48,94	63,64	100	-	47,4	

4.7.2 Integration of Affirmative Action Policies and Programmes

This section of the Questionnaire dealt with how affirmative action should be linked to personnel and training policies as well as strategic planning in local government.

The research results are tabled below :

Table 8 - Responses on Integrating Affirmative Action with Personnel and Training Policies and Strategic Planning		Council Officials N=88	Council N=88	Unions N=11	Civics N=4	Employer Organisations N=2	TOTAL N=152	Chi Square Results
Questions	Rating	Frequency Percent						
2.1 For affirmative action to be effectively controlled it should form part of employment and training policies and procedures	Neither Agree Nor Disagree	-	2,13	-	-	-	0,7	Accept Ho
	Strongly Disagree & Disagree combined	1,14	2,13	-	-	-	1,2	
	Strongly Agree & Agree combined	98,86	95,74	100	100	100	98	
2.2 Affirmative action should be included in the strategic plans of local authorities	Neither Agree nor Disagree	1,14	2,13	0	0	0	1,3	Accept Ho
	Strongly Disagree & Disagree combined	-	6,38	0	0	0	2	
	Strongly Agree & Agree combined	98,86	91,49	100	100	100	96,7	
2.3 Management should be held accountable for the execution of affirmative action strategic plans	Neither Agree nor Disagree	3,41	6,38	-	-	-	3,9	Accept Ho
	Strongly Disagree & Disagree combined	2,27	6,38	9,09	-	-	3,9	
	Strongly Agree & Agree combined	94,32	87,23	90,91	100	100	92,1	

4.7.3 Enforcement of Affirmative Action

This section of the Questionnaire dealt with how affirmative action should be enforced in local government. The results are detailed below :

Table 9 - Responses on Enforcement of Affirmative Action in Local Government		Council Officials N=88	Council-lors N=47	Unions N=11	Civics N=4	Employer Organisations N=2	TOTAL N=152	Chi Square Results
Questions	Rating	Frequency Percent						
3.1 Affirmative action should be enforced by central government	Neither Agree Nor Disagree	17,05	10,64	18,18	25	50	15,8	Reject Ho
	Strongly Disagree & Disagree combined	65,91	76,60	27,27	50	50	65,8	
	Strongly Agree & Agree combined	17,05	12,77	54,55	25	-	18,4	
3.2 Affirmative action should be enforced by way of agreement between individual local authorities and their respective trade unions	Neither Agree nor Disagree	9,09	4,26	-	-	-	6,6	Accept Ho
	Strongly Disagree & Disagree combined	23,86	36,17	-	-	-	25	
	Strongly Agree & Agree combined	67,05	59,57	100	100	100	68,4	
3.3 Affirmative action should be enforced by way of agreement between employer and employee organisations	Neither Agree nor Disagree	15,91	4,26	18,18	-	50	12,5	Reject Ho
	Strongly Disagree & Disagree combined	37,50	36,17	-	-	50	33,6	
	Strongly Agree & Agree combined	46,59	59,57	81,82	100	-	53,9	
3.4 Central government, together with employer & employee organisations should reach consensus on affirmative action legislation for local government	Neither Agree nor Disagree	17,05	10,64	18,18	-	-	14,5	Accept Ho
	Strongly Disagree & Disagree combined	31,82	34,04	18,18	-	50	30,9	
	Strongly Agree & Agree combined	51,14	55,32	63,64	100	50	54,6	
3.5 Quotas should be set as a means of controlling affirmative action	Neither Agree nor Disagree	2,27	2,13	27,27	50	-	5,3	Reject Ho
	Strongly Disagree & Disagree combined	95,45	95,74	54,55	25	100	90,81	
	Strongly Agree & Agree combined	2,27	2,13	18,18	25	-	3,9	
3.6 Setting objectives is a more flexible and realistic way to control affirmative action	Neither Agree nor Disagree	5,68	4,26	9,09	-	-	5,3	Accept Ho
	Strongly Disagree & Disagree combined	3,41	8,51	-	-	50	5,3	
	Strongly Agree & Agree combined	90,91	87,23	90,91	100	50	89,5	

Table 9 - (contd) ... Responses on Enforcement of Affirmative Action in Local Government		Council Officials N=88	Council- lors N=47	Unions N=11	Civics N=4	Employer Organisations N=2	TOTAL N=152	Chi Square Results
Questions	Rating	Frequency Percent						
3.7 If affirmative action objectives or quotas are not achieved, central government should impose fines on such local authorities	Neither Agree Nor Disagree	17,24	-	18,18	25	-	11,9	Reject Ho
	Strongly Disagree & Disagree combined	75,86	91,49	45,45	50	100	78,1	
	Strongly Agree & Agree combined	6,90	8,51	36,36	25	-	9,9	
3.8 It is the role of management to monitor and evaluate affirmative action policies and programmes	Neither Agree nor Disagree	2,27	-	18,18	-	-	2,6	Reject Ho
	Strongly Disagree & Disagree combined	2,27	6,38	36,36	25	-	6,6	
	Strongly Agree & Agree combined	95,45	93,62	45,45	75	100	90,8	
3.9 Trade unions must be involved in the monitoring and evaluation of affirmative action policies and programmes	Neither Agree nor Disagree	11,36	8,51	-	-	-	9,2	Accept Ho
	Strongly Disagree & Disagree combined	13,64	14,89	-	-	-	12,5	
	Strongly Agree & Agree combined	75,00	76,60	100	100	100	78,3	
3.10 Affirmative action policies and programmes must be evaluated by an independent body	Neither Agree nor Disagree	21,84	23,91	18,18	-	50	22	Accept Ho
	Strongly Disagree & Disagree combined	49,43	36,96	27,27	25	-	42,7	
	Strongly Agree & Agree combined	28,74	39,13	54,55	75	50	35,3	

4.7.4 Conclusion

The results in 4.7.1 to 4.7.3 will be discussed in terms of the Literature Review in Chapter Five.

4.7.5 Analysis of Open-Ended Questions

In Section 4 of the Questionnaire, respondents were asked two open-ended questions to afford them an opportunity to give their views on :

- (i) how affirmative action policies and programmes should be enforced in local government; and
- (ii) how affirmative action policies and programmes should be monitored.

Answers to the open-ended questions were content analysed. Based on the content analyses, eight sub-categories were derived for Questions 4.1 and seven for Question 4.2. The results are presented in Tables 10 and 11.

4.7.6 Enforcement of Affirmative Action Policies

In Question 4.1, participants were asked to give their views on how affirmative action policies and programmes should be enforced in local government. The results are tabled below.

Table 10 :
Frequency on how Affirmative Action Policies and Programmes
should be Enforced in Local Government :

Description	Frequency Percentage N = 152
- Government enforcement	3,3
- Co-determined guidelines by Government, Unions and Local Authorities	13,8
- Voluntary	6,6
- Management Control	28,3
- Training, Development & Attitudinal Change	16,4
- Preferential Policies	2,6
- All Stakeholder Involvement	10,5
- Joint enforcement by Management and the Trade Unions	23,7

4.7.6.1 Enforcement by central and/or regional government legislation

Only 3,3 percent of the participants stated that central and/or regional government should enforce affirmative action policies and programmes. One respondent noted that a future metropolitan government could fulfil the same role.

The issue of fines was raised in the event of non-compliance to legislation as well as providing incentives to those local authorities who would be adhering to the provisions in the act.

4.7.6.2 Co-determined national guidelines by government, local authorities and employee organisations

In total, 13,8 percent of the sample indicated that national guidelines on affirmative action are necessary. However individual local authorities and trade unions should negotiate their own policies within such a national framework.

4.7.6.3 Voluntary

The respondents in this category who represent 6,6% of the sample, strongly endorsed their opposition to government enforcement. In fact they stated that if enforced it would not work.

4.7.6.4 Management control

In this category respondents expressed the view that affirmative action should be enforced by management systems and processes. Some noted that it should form part of the strategic management process and be managed via a performance management system. This implies that affirmative action should be one of the key performance areas of managers and supervisors and that they should be rewarded for performance in this area.

One respondent highlighted the importance of affordability and stated that policies and programmes should be developed in a responsible manner with accountability.

Contributions to this category amounted to 28,3% of the total sample.

4.7.6.5 Training, development and attitudinal change

In total 16,4 percent stressed that training, development and attitudinal change should be the cornerstone of any affirmative action programme. A very interesting observation was made by an executive official, namely that, management should be continually sensitised (e.g. workshops, courses) to affirmative action to ensure their support and commitment to such policies and programmes.

Members of disadvantaged groups should receive appropriate training and development, with particular emphasis on coaching and mentoring. Instead of making so-called token appointments, disadvantaged candidates with potential should be identified and developed. This would also ensure that performance standards would be maintained and possibly improved.

One of the respondents stated that as far as training and development is concerned, an increased proportion of time, effort and resources should be focused on marginalised groups.

4.7.6.6 Preferential policies

Some of the views proposed are that policies on affirmative action should not be a separate document. An integrated approach should be followed; for example, it should form part of the conditions of service.

However, it was cautioned that a legalistic approach is no guarantee that employers would be serious enough to implement such policies. General policies need to be backed by collective action by the trade unions.

Furthermore, it was suggested that initially quotas on recruitment and promotions should be set, based on clear criteria for appointments, specifying minimum levels and an agreed plan of progress to acceptable levels of both performance and qualifying criteria. Quotas should be a temporary measure only.

One respondent stated that in the case of appointments, when the primary criteria of merit, suitability and development potential have been met, a member of the disadvantaged group should be given pre-

ference. Finally it was also suggested that appointments of whites to positions where they are well represented should be stopped for a period of five years to restore the imbalance in current employment profiles.

Two respondents cautioned against focusing affirmative action policies on elite groups. One of them noted that : "Affirmative action should not be an elitist programme promoting black or/and female faces merely for the sake of window dressing".

In total 2,63 percent contributed to this category.

4.7.6.7 All stakeholder involvement

The views expressed by respondents were that council officials, councillors, unions, civic associations, churches, political parties and movements should be involved in enforcing affirmative action. In this category a response rate of 10,5 percent was obtained.

4.7.6.8 Enforcement by management and trade union agreement

This category elicited a 23,7 percent response. Essentially the respondents in this category favour a management/union agreement on enforcement of affirmative action policies and programmes.

The view was expressed that unions should only take industrial action to ensure enforcement as a last resort. Instead, regular feedback sessions regarding affirmative progress should be used as a forum for management and employee representatives to iron out difficulties, using a problem solving approach.

4.7.7 Monitoring Affirmative Action Policies and Programmes

In Question 4.2 participants were asked to state how affirmative action policies and programmes should be monitored. The results are tabled below:

*Table 11 :
Frequency on How Affirmative Action Policies and Programmes Should be Monitored*

Description	Frequency Percentage N = 152
Independent Professional Body	1,3
Management Control	38,8
Management, Trade Unions, Councillors & Civic Associations	6,6
Independent Board : Management, Trade Unions, Councillors & Civic Associations	8,6
Central and Regional Government	2,6
Reports	23,0
Management and Trade Unions	21,7

4.7.7.1 Independent professional body

Only 1,3 percent of participants responded to this category. It was proposed that an independent professional body should monitor affirmative action policies and programmes.

4.7.7.2 Management control

This category elicited substantial support. In total 38,8 percent responded. This category must be seen in relation to 4.7.6.4. In essence, it means that the objectives set for affirmative action must be monitored by management. This will be controlled via the performance management system mentioned in 4.7.6.4.

**4.7.7.3 Forum :
management, trade unions, councillors
and civic associations**

In this category, 6,6 percent stated that a representative forum constituted by management, trade unions, councillors and civic associations should monitor affirmative action policies and programmes.

**4.7.7.4 Independent Board :
management, trade unions, councillors and
civic associations**

In total 8,6 percent responded. The view was expressed that management, trade unions, councillors and civic associations should reach consensus on the composition and function of an independent board to monitor affirmative action policies and programmes.

4.7.7.5 Central and regional government

Only 2,6 percent concurred that central and regional government should monitor affirmative action policies and programmes.

4.7.7.6 Reports

The issue of reports on affirmative action enjoyed substantial support. As much as 23 percent responded. Different views were expressed on how to report. Some suggested quarterly, bi-annually and annual reports to all the relevant stakeholders. Others suggested that reports should be open to public scrutiny as well.

4.7.7.7 Monitoring by management and the trade unions

Essentially, the main thrust of this category was that management and the trade unions should agree on how to monitor affirmative action policies and programmes. Some suggested that part of monitoring should be via human resources personnel acting as internal auditors. In addition, shop stewards should observe and monitor progress on a daily basis, with the full knowledge that they have recourse to the grievance and dispute mechanisms prescribed for by the conditions of service.

An Affirmative Action and Human Resources Development and Training Board as well as an Affirmative Action Officer should meet at least every three months to monitor progress.

In total 21,7 percent contributed to this category.

4.8 CONCLUSION

This Chapter presented a summary of the research findings and statistical analysis. In Chapter Five the results will be discussed and interpreted with reference to the Literature Review in Chapter Two.

CHAPTER 5

DISCUSSION AND INTERPRETATION OF RESULTS

5.1 INTRODUCTION

In Chapter Five the research results presented in Chapter Four will be analysed and integrated with the literature review. Possible solutions to the research questions stated in Chapter Two are explored and discussed in detail.

The results of the content analysis are integrated with the literature review in the next section.

5.2 CATEGORY ONE : STAKEHOLDER INVOLVEMENT

In this category, the content analysis dealt with the extent of stakeholder involvement in affirmative action.

The results in Table 2 indicate that 7. percent of the documents analysed concur that unions should be involved in the development, monitoring and evaluation of affirmative action policies and programmes.

At an operational level, 62 percent concurred that shop stewards and 100 percent concurred that employees should be involved in implementing affirmative action programmes. In Table 1, it is recommended that government involvement in affirmative action should be minimal and not be prescriptive. The role of management is highly emphasized in one of the documents. The learning point, however, is that managers are also key stakeholders in affirmative action.

Tables 1 and 2 clearly highlight the importance of government, unions and employees as key stakeholders in affirmative action. This notion is supported by the international experience, in particular, the Scandinavian experience where the collective bargaining process takes precedence (Albertyn, 1993). In these countries government involvement is minimal.

In the current South African experience the importance of an all stakeholder approach is becoming a new national value. Lessons learned in broader society are that in the debate on the education crisis and the National Peace Accord for example, a consistent theme has been the importance attached to "legitimacy" of decisions taken and programmes implemented. The bottom line is that decisions taken without the meaningful participation of those involved are not accepted (Hofmeyr, 1993).

The researcher strongly supports the notion that all the relevant stakeholders should be involved in the development, monitoring, evaluation and enforcement of affirmative action policies and programmes. South African society is deeply divided and hence trust can only be built amongst the groups if all the players are involved in co-creating policies. Only in this way can they take ownership for any new initiatives.

5.3 CATEGORY TWO : INTEGRATION OF AFFIRMATIVE ACTION WITH HUMAN RESOURCE SYSTEMS AND STRATEGIC PLANNING

The results in Table 3 are unanimously in favour of integrating affirmative action with human resource systems. Only one document refers to the inclusion of affirmative action in the business plans of the organisation.

Waterman Jr *et al* (1991) asserts that systems make strategy work. This notion is supported by Fowler (1988). He specifically states that securing genuine equality of opportunity needs to be seen as an integral element of human resource management and not as some form of optional extra. Moreover, traditional human resource systems fail to recognise the strength of a diverse workforce.

Pennington (1993) makes the point that affirmative action proved to be successful in organisations where it has been integrated in the business planning process with full commitment from the chief executive officer.

An organisation's commitment to affirmative action can be assessed in terms of the allocation of resources flowing from strategic planning. Policies alone are not enough to make strategy work. It must be accompanied by ongoing strategic planning.

5.4 CATEGORY THREE : PARTIES DIRECTLY OR INDIRECTLY INVOLVED IN ENFORCEMENT OF AFFIRMATIVE ACTION POLICY AND PROGRAMMES

The purpose of this category is to establish which parties, both internal and external to the organisation should be involved in enforcing affirmative action.

In Table 4, 50 percent concur that an external body, independent of the organisation should be involved in enforcement while, 37.5 percent proposed an independent internal body to monitor and enforce affirmative action policy and programmes. Moreover, it is proposed that shop stewards should be involved at an operational level in monitoring policies and programmes (refer 5.2).

Independent bodies such as equal opportunity employment commissions are common in the United States and Europe (Albertyn, 1992). In the United States of America the commission established quotas or statistical goals, for the employment of certain minority groups. In fact mandatory programmes are common in the public sector and large organisations (Albertyn, 1992).

The researcher believes that the more inclusive the parties involved in monitoring and enforcing affirmative action policies and programmes are, the

more transparent the process will be, which in turn improves the legitimacy of the process. A management driven approach as suggested by two of the documents will have limited success and legitimacy.

5.5 CATEGORY FOUR : SETTING AFFIRMATIVE ACTION OUTPUTS

This category deals with setting affirmative action outputs in terms of goals or rigid quotas.

The majority of the documents indicate a preference for flexible goals and timetables as opposed to fixed quotas. In fact, 62.5 percent concur that setting goals and timetables is preferred. Only 12.5 percent indicated a preference for quotas whilst the rest were silent on both quotas and goals.

The international experience indicates that flexible goals and timetables are more acceptable than fixed quotas. The American, Indian, Malaysian and Sri Lankan experience support the notion that measures based on fixed quotas (or figures) are counter-productive. In Malaysia, appointments in the civil service were made on a ratio of four Malays to one non-Malay which resulted in resentment. In Sri Lanka preferential selection policies favoured Sinhalese speaking applicants, which excluded the majority of the Tamils who were not Sinhalese speaking (Weiner, 1993). This led to resentment that finally culminated in an armed struggle.

The controversy continues over quotas while goals and timetables are generally acceptable as a means of expanding opportunities for minorities (Weiner, 1993). The researcher concurs with the majority view indicated by the results and the international experience namely that flexible goals and timetables are more acceptable than fixed quotas. His main rationale for this stance is that for affirmative action to work more emphasis is required on development and less on rigid quotas. In fact, quotas suggest a quick fix to

redressing historical imbalances. These inequalities cannot be rectified in the short term. The quota system can only work if the skills profile in the labour market is equal for all groups.

**5.6 CATEGORY FIVE :
HOW AFFIRMATIVE ACTION POLICIES
AND PROGRAMMES ARE ENFORCED**

The purpose of this category is to determine how affirmative action policies and programmes should be enforced.

Table 6 shows that 87.5 percent of the documents are in favour of negotiating an affirmative action programme via the collective bargaining process. As part of the enforcement process, 100 percent of the documents propose formal progress reports on affirmative action programmes. There seems to be very little support (25 percent) for affirmative action policies and programmes to be enforced by the imposition of fines or court orders.

It is interesting to note that the Canadian Employment Equity Act makes provision for what is expected from federally regulated employers in the private and public sectors in terms of employment equity. Fines are imposed for non-compliance to the provision of the Act (Albertyn, 1992). There seems to be very little support in the analysis of the documents for this stance.

The Canadians have achieved more with this form of control in contrast to the previously low success rate of voluntary programmes (Albertyn, 1992).

In the Scandinavian Countries, the collective bargaining process takes precedence. The law plays an auxiliary role and operates in the absence of any collective bargaining agreement. In Sweden the law applies to collective bargaining agreements as well (Albertyn, 1993). The results indicate that we have to opt for collective bargaining agreements to enforce affirmative action policies and programmes.

Given the legacies of apartheid, the researcher is of the opinion that South Africa needs legislation on affirmative action. Such legislation must be a product of negotiation with all the relevant stakeholders. It should not be rigid but must make provision to take corrective measures in the event of non-compliance.

Failure to address the expectations of the disadvantaged can be fatal to a peaceful political settlement. The researcher feels that at local government level the need to apply corrective measures will be vital. However, these measures should ideally be a product of negotiation.

5.7 SURVEY QUESTIONNAIRE

The purpose of this section is to discuss the output of the Survey Questionnaire with reference to the Literature Review in Chapter Two. The research results summarised in Tables 7,8,9,10 and 11 serve as a basis for the discussion.

5.7.1 Stakeholder Involvement

This section deals with the involvement of stakeholders in the control of affirmative action in local governments.

5.7.1.1 Question 1.1 : Central government involvement

Research Question 1.1 examined whether central government should advise local authorities in developing affirmative action policies and programmes. The results indicate a split in the vote of 42,4 percent (mainly council officials and councillors) against government advice versus 48,8 percent (mainly unions and civics) in favour of government advice. However, it is

clear from the results that councillors and officials are not quite sure whether central government should play a role in affirmative action in local government. Central government involvement could perhaps be perceived as making inroads into the power base of councillors and officials. One can already sense a level of resentment to government involvement, in particular a new government due to be elected in April 1994. As in the Malaysian and Sri Lankan experience civil service officials resented affirmative action policies of the new ruling political parties who represented the majority of the population. (Weiner, 1993).

This is no doubt an area that requires further investigation to enable all stakeholders to make informed decisions.

5.7.1.2

Question 1.2

Shop steward involvement

The issue of shop steward involvement in implementing affirmative action policies and programmes received attention in Question 1.2. Agreement on shop steward involvement was strongly endorsed (74,34 percent). Since shop stewards are both employees and union representatives, it appears that management feels more secure in involving them in affirmative action. This stance is welcome since trade unions represent a vital stakeholder group, and their involvement, input and observations are essential according to Hofmeyr (1993).

It is particularly critical at this level since this is the closest level in dealing with the beneficiaries of affirmative action and hence will have a bearing on the legitimacy of the process.

Furthermore, the researcher is of the opinion that the results of this question indicate a major leap forward in management's acceptance of the crucial role shop stewards have to play. This change in mindset is particularly significant if one considers that shop stewards were alienated in the past by management.

5.7.1.3

Question 1.3 :

Involvement of disadvantaged managers

Question 1.3 considers the importance of involving disadvantaged managers in the development and implementation of affirmative action. The different occupation categories were in total agreement (86,8 percent) of this role. The chi square results confirm this in that the occupation category did not influence the way in which the question was answered.

Hofmeyr (1993) concurs that disadvantaged managers are important stakeholders. He further proposes that they should be involved on an individual basis, in task teams, on projects and in discussions on affirmative action. Honeyborne (1987) in turn asserts that it is pointless to design an affirmative action strategy without understanding the needs and concerns of the stakeholder groups.

The researcher supports the notion of disadvantaged manager involvement in that they can bring to the table a perspective that white managers do not have. Their input will add value to the relevance of the process.

5.7.1.4

Question 1.4 :

White manager involvement

As in the previous question, white manager involvement is endorsed to the tune of 90.7 percent. The chi square results indicate that occupation category did not influence the way in which this question was answered.

Hofmeyr (1993) states that white managers could be a source of resistance and should therefore be included in the debate on policy formulation. The researcher supports this view since alienating white managers will adversely affect the successful implementation of affirmative action strategies.

5.7.1.5

Question 1.5 :

Management and trade unions should negotiate affirmative action policies and programmes

Throughout the research there appears to be strong support for the management/union agreements. The research results indicate a strong preference (86,8 percent) for such agreements. The chi square results support agreement on this question by all occupational groups.

The results are also supported by a survey conducted by Anthea McGregor and Associates (1993) which indicated that organisations that had union presence, suggested that the unions and shop stewards should be involved in every stage of development of the affirmative action process. Erntzen (1993), the General Secretary of the South African Municipal Workers Union concurs that all parties should be involved.

The results indicate that South Africa should adopt the Scandinavian model, whereby the collective bargaining process takes precedence. The law plays an auxiliary role or operates in the absence of any collective bargaining agreement (Albertyn, 1992).

The research supports the Scandinavian model since the collective process is well established in South Africa and in particular in local government. Any other process or system that is not democratic in principle as well as inclusive will be less successful in the South African context.

Purcell (1979) agrees with the notion of involving all the parties. He asserts that to negotiate policies such as affirmative action, they can be employed to utilise and reinforce an acceptance of a common interest between workers and management. Such policies create an impression of participation and partnership whilst maintaining management's right of last say. In the final analysis this will legitimise the role of unions, develop trust between the parties and encourage friendliness between the negotiators.

5.7.1.6

Question 1.6 :

All employees should be consulted on the development of affirmative action programmes

This question was not too clear to some respondents. The issue was that not all employees, but that representatives of all employees should be consulted on the development of affirmative action programmes. Despite apparent problems with clarity, the question elicited sufficient consensus (73,5 percent). This score was endorsed by the chi square result.

Hofmeyr (1993) asserts that input from employees is vital in the design and development of such programmes since the majority of employees would be the main beneficiaries. Many would like to improve themselves and would like to see affirmative action extend beyond the ranks of supervision and management (Hofmeyr, 1993).

The researcher feels strongly that affirmative action should not be an élitist programme. This means that it should not be developed in smoked-filled boardrooms. Marginalised groups should be involved in the development of such programmes to ensure its acceptability.

5.7.1.7

Question 1.7 .

Involvement of councillors in negotiating affirmative action policies

The chi square result indicates that there is a difference in the way the various occupation groups responded to this question. Council officials felt differently about the involvement of councillors than did unions and councillors. In fact a strong minority (32,95 percent) of officials were against the involvement of councillors in negotiations.

Hofmeyr (1993) advocates that politicians can contribute towards shaping affirmative action legislation. Councillors are politicians operating at a local government level and would be in a position to influence future legislation on affirmative action.

The attitude of officials in their response to this question was essentially shaped by the value and norms of the existing system of local government, whereby officials are not encouraged to speak to councillors, let alone negotiate with them.

What is definitely emerging is that local government is in the process of moving from an exclusive to a more inclusive, transparent system. The researcher is therefore of the opinion that councillors should be involved in negotiating affirmative action policies. The researcher concurs with Kilmann (1989) that the organisation's culture must support the behaviour that is needed for organisational success today. This means that the culture in local government must change so that officials and councillors can interact freely if and when required.

5.7.1.8

Question 1.8 :

Civic associations should play a role in developing affirmative action policies

The chi square result indicates that the different occupation groups did not respond differently to this question. The frequency percentage of 47 percent in favour of civic association involvement is not conclusive. As many as 14,5 percent were uncertain about civic association involvement and 38,2 percent against their involvement.

Like political parties, bodies of civil society such as civic associations who are currently involved in shaping a new local government dispensation, should have an input in affirmative action policy formulation (Hofmeyr, 1993).

The role of civic associations is perhaps not very clear to the majority of the respondents. In the opinion of the researcher, they will play a pivotal role in a future local government dispensation and hence their involvement in affirmative action policy formulation is important.

5.7.1.9 Comparison of survey and documentary results on stakeholder involvement

The documentary results in 5.2 highlight government, unions, shop stewards and employees as key stakeholders in affirmative action. This corresponds with the survey findings in this section. However, the survey findings in addition, include both councillors and civic associations as key stakeholders.

The results of both findings are overwhelmingly in favour of management and trade unions negotiating affirmative action policies and programmes. The documentary results support was 87,5 percent (see 5.6) and that of the survey 86,6 percent.

5.7.2 Integration of Affirmative Action Policies

This section of the Questionnaire dealt with integrating affirmative action in management processes and systems.

5.7.2.1 Question 2.1 : Integrating affirmative action with employment and training policies

Question 2.1 deals with integrating affirmative action with employment and training policies and procedures. Consensus on this question is extremely high, that is 98 percent and is supported by the chi square result.

The research results are supported by Fowler (1938) who asserts that securing genuine equality of opportunity needs to be seen as an integral element of human resource management, not as some optional extra. Pennington (1993)

notes that important support systems for affirmative action strategies include : stringent recruitment and selection; orientation training; training and development; performance appraisal; coaching and mentoring; and integrated human resource systems.

The researcher supports the consensus on the question since failure to formalise affirmative action strategies implies that it is not really an issue and furthermore, no safety net mechanism will be in place to make it possible to lodge a complaint in respect of affirmative action. It could end up being driven by the whims and wishes of management which at best can be inconsistent.

5.7.2.2

Question 2.2 :

Including affirmative action in the strategic plans

Consensus on this question was 96,7 percent and was supported by the chi square result.

Pennington (1993) states that affirmative action proved to be successful where it has been integrated in the business planning process with full commitment from the chief executive officer.

Affirmative action must be linked to the business needs of organisations. If it is not considered a strategic issue it will most certainly be side-lined.

5.7.2.3

Question 2.3 :

Management accountability for execution of affirmative action strategic plans

The parties were practically unanimous with reference to Question 2.3. Consensus of 92.1 percent was supported by the chi square result.

Without the full commitment from the chief executive officer, affirmative action strategies will be less successful according to Pennington (1993). However, this should not imply that a "top down" approach in initiating and driving such policies should be the order of the day, according to Hofmeyr (1993). A pre-condition would be for management to understand the needs and concerns of all the stakeholder groups (Honeyborne, 1987).

The researcher fully supports the notion that management should be accountable for executing affirmative action strategies since they control all organisational resources. However, they should ensure that the process is legitimate from a stakeholder perspective.

5.7.2.4

Comparison with documentary findings

Both the documentary (refer 5.3) and survey results indicate almost unanimously, that affirmative action policies and programmes should be integrated with human resource systems such as employment, training and development.

5.7.3 Enforcement of Affirmative Action Policies

This section of the Questionnaire dealt with the enforcement of affirmative action in local government.

5.7.3.1

Question 3.1 :

Enforcement of affirmative action by central government

The chi square results indicate that there was a difference in the opinions of occupation groups answering this question. Council officials (65,91 percent) and councillors (76,7 percent) agreed that central government should not enforce affirmative action, whilst the unions (54,55%) did not conclusively support this stance.

The international experience cautions that government should not be over prescriptive in enforcing affirmative action. Enforcing quotas in Malaysia and implementing preferential policies in Sri Lanka resulted in resentment and finally culminated into an armed struggle in the latter (Weiner, 1993).

Steiss (1982) asserts that too much control can stifle initiative and encourage behaviour to beat the system. Likewise, too little control can increase the probability that the desired results will not be achieved.

The researcher is convinced that some form of government enforcement will be necessary, in particular at local government level. However the parties should be given ample latitude to reach consensus on policies that will best serve their unique circumstances.

5.7.3.2

Question 3.2 :

Enforcement by way of agreement between local authorities and their respective trade unions

The frequency percentage for this question indicates consensus and is supported by the chi square result. In total 68.4 percent is in favour of enforcement as per agreement at a local level between unions and management.

The results of this question indicate that there is a convergence about enforcing agreements concluded on a local rather than a national level. The reasons why it is more acceptable to enforce at the local level is stated by Hofmeyr (1993) as follows:

- People understand more about something they have contributed to
- People are more committed to something they have contributed to

Agreements between trade unions and management at local government level is not a new phenomenon. The researcher therefore agrees that preference should be given to enforce agreements at the local level.

5.7.3.3

Question 3.3 :

Enforcement by way of agreement between employer organisations and employee organisations

The chi square results indicate a difference in the answers of occupation groups to this question. Consensus of 53.9 percent is not conclusive.

As in the previous question, the result indicates a preference by council officials and councillors to negotiate at a local rather than a national level. Unions in turn have no difficulty in negotiating at a national level since it could strengthen their bargaining position.

The researcher is of the opinion that national or regional level agreements should serve only as a guideline, and that agreements at the local level should enjoy preference.

5.7.3.4

Question 3.4 :

Consensus on affirmative action by government, local authorities and employee organisations

There seems to be fair support (54,6%) for reaching consensus on national legislation. Moreover, occupation groups did not differ in answering this question.

The Namibian experience indicated that national legislation cannot be developed by government alone. Namibia's draft legislation on affirmative action, developed by the International Labour Organisation, has been placed on the back burner since the Government accepted as part of its policy on labour and manpower development, the policy of tripartism (Lüff, 1993). This in effect means that any future affirmative action legislation will have to be negotiated by government, employers and employee organisations.

The Zimbabwean experience was dominated by a political directive to Africanise the civil service. The directive was not supported by national legislation or employment policy. However the effects of affirmative action was dramatic. Affirmative action goals were achieved by massive increases in the size of the Civil service, emigration and retirement.

This option is a quick and dirty option that can have devastating effects on the economy of a developing country.

As in the case of the Namibian experience, the researcher concurs that national guidelines will have to be negotiated with involvement by all the stakeholders. It will be naïve to leave the issue of affirmative action only to management and the trade unions. Some kind of policy environment will have to be created to encourage management and the trade unions to expedite progress on affirmative action. The absence of clear guidelines can result in confusion, resentment and possibly an armed struggle.

5.7.3.5

Question 3.5 :

Quotas as a means of controlling affirmative action

Ninety point 8 percent of the respondents did not support a quota system. However the chi square result indicates that there was a significant difference in occupation groups when answering this question. Unions garnered 18,18 percent support for quotas whilst 27,27 percent were uncertain. This implies that within union ranks quotas could still be an option.

The quota system adopted in India to encourage lower caste children's education, was a low-cost strategy since the Government accorded a low priority to developing the primary and secondary school system. Since a minimal investment was made in mass education, very few untouchables and tribals had access to universities and employment on an equal basis (Weiner, 1993).

In Malaysia and Sri Lanka fixed employment quotas resulted in resentment and in Sri Lanka it had devastating effects on

the economy. In the United States of America the issue of quotas is still controversial whilst goals and timetables are generally acceptable as a means of expanding opportunities for the disadvantaged groups. (Weiner, 1993).

Quotas as a control mechanism to enforce affirmative action is too mechanistic by nature, in that it specifies exactly what tasks are required and how they should be carried out. This means that very little personal judgement is demanded and hence at best initiative can be stifled and measures can be counter-productive at worst.

Moreover, it can lead to tunnel vision in that an employee carries out instructions even though it becomes apparent that the desired objective is not going to be achieved (Otley, 1987).

The researcher supports the notion that quotas are too rigid a measure to enforce affirmative action. Such a system could in the end cause more damage than addressing the burning issues in affirmative action. More flexible and effective measures should be adopted.

5.7.3.6

Question 3.6 :

Setting objectives as a way to control affirmative action

Consensus on setting objectives to control affirmative action was very high (89.5 percent). This view was supported by the chi square result in that there was no difference in occupation groups when answering this question.

The international experience clearly indicates that setting goals and timetables is more acceptable as a means of expanding opportunities for disadvantaged groups (Weiner, 1993). Otley (1987) asserts that by setting targets one creates space for initiative and creativity as opposed to setting rigid quotas. In Canada, for example, employers must work to achieve a representative workforce reflecting the demographic make-up of the population in the area. To this end employees must prepare an annual employment equity plan with timetables and goals (Albertyn, 1992).

Pennington (1993) mentions that affirmative action proved to be successful in organisations where it has been integrated in the business plans. This means that targets were set that include racial profile objectives, training objectives, development objectives and budgets.

The researcher strongly supports the view that setting objectives is a more flexible and realistic way to control affirmative action. This will make it possible for individual local authorities to plan affirmative action in line with local conditions, such as the availability of disadvantaged groups in the labour market.

5.7.3.7

Question 3.7 :

Imposing fines for non-compliance

The chi square result indicates that there is a difference in occupation groups when answering this question. Unions are not entirely opposed (45,45 percent) to the imposition of fines for non-compliance with affirmative action plans, whilst councillors (91,4 percent) and officials (75,86 percent) disagree strongly.

The researcher does not support the idea of imposing fines unless the parties agree to it. Enforcement should be amenable to negotiation between the parties. The point is that there must be some acceptable and reasonable way of ensuring that affirmative action plans are executed.

5.7.3.8

Question 3.8 :

Management's role to monitor and evaluate affirmative action policies and programmes

The chi square result indicates that there is a difference in occupation groups when answering this question. Officials (95,45 percent) and councillors (93,63 percent) support management's role in monitoring and evaluating affirmative action policies and programmes. The unions had some reservations. Only 45,45 percent support management involvement. The reason could be that the unions perceive monitoring and evaluation of affirmative action to be a joint responsibility.

Erntzen (1993) agrees that there can be no affirmative action programme under the apartheid system. He makes the point that current civil servants are overtly political and harbour innate hatred against inevitable transformation. It is for this reason that monitoring and evaluation of affirmative action policies and programmes should be a joint venture. This will ensure that the process is more transparent and inclusive.

The researcher believes that both unions and management should agree on how to monitor and evaluate affirmative action policies and programmes. In this way the parties will ensure that the process is open to scrutiny by all concerned.

5.7.3.9

Question 3.9 :

Trade union involvement in monitoring and evaluation of affirmative action policies and programmes

The results indicate substantial consensus (78,3 percent) on union involvement in monitoring and evaluating affirmative action policies and programmes. This is supported by the chi square results.

The involvement of trade unions in monitoring and evaluating affirmative action will legitimise the process according to Hofmeyr (1993). Pennington (1993) supports this stance and states that to legitimise business practice, the requirement of all stakeholders including unions should be considered. Moreover, Honeyborne (1987) states that if corporate strategy fails to take account of unions, support will not be forthcoming.

The researcher supports the view that trade unions should be involved in monitoring affirmative action policies and programmes. Their involvement will make the process more credible and acceptable.

5.7.3.10

Question 3.10 :

Independent body involvement in evaluating affirmative action policies and programmes

There seems to be no consensus on this issue. The chi square result indicates that there is no difference between occupation groups in responding to this question. Support for an independent body is only 35,3 percent. As high as 22 percent is uncertain and 42 percent against it. However, the question did not define an independent body which made it difficult for participants to respond appropriately.

Clearly, the results indicate that the involvement of an independent body in evaluating affirmative action policies and programmes is not favourable. This is no doubt an area that needs further investigation to ultimately enable all stakeholders to make informed decisions.

5.7.3.11 Comparison with documentary findings

The documentary results in 5.6 revealed very little support (25 percent) for affirmative action policies and programmes to be enforced by imposing fines or court orders. This is in agreement with the survey findings which indicated very little support (9,9 percent) for such fines.

The documentary results in 5.4 indicate slightly more support (50 percent) for an external independent body to be involved in enforcement of affirmative action policies and programmes. The survey findings were only 35,3 percent in support. Both results indicate a fair amount of reluctance to involve independent bodies. Both findings indicate consensus on goals and timetables versus quotas. In the documentary results (refer 5.5) 62,5 percent supported goals and timetables whilst 89,5 percent were in favour thereof in the survey findings. For quotas, the documentary findings indicated a 12,5 percent preference and the survey findings a mere 3,9 percent. These results therefore indicate conclusively that goals and timetables are acceptable as opposed to a quota system.

5.8 OPEN-ENDED QUESTION ON ENFORCEMENT OF AFFIRMATIVE ACTION

The purpose of this section is to focus only on those sub-categories not covered by Sections 1,2 and 3 of the Questionnaire.

Please bear in mind that this section deals with responses to open-ended questions and hence percentages are expected to be very low. This is so since the responses only come from people who feel strongly about certain issues.

5.8.1 Voluntary Affirmative Action Policies and Programmes

Only 6,6 percent stated that affirmative action should be voluntary.

It would be idealistic to assume that affirmative action would result from a voluntary basis. A policy environment needs to be created to encourage organisations to implement such programmes in a responsible and professional manner. The Canadian experience supports the notion of creating a policy environment since Canada achieved more by legislating for affirmative action in contrast to their previously low success rate when requesting voluntary programmes (Albertyn, 1992).

As mentioned previously, Ertzen (1993) makes the point that there can be no affirmative action under the apartheid system. He argues that the current civil servants are overtly political and harbour innate hatred against inevitable transformation.

The researcher feels strongly that a voluntary approach to affirmative action within the South African context would be tantamount to wishful thinking. However, to make the process acceptable, inclusivity and transparency would be the values that will drive the process.

5.8.2 Training, Development and Attitudinal Change

The 16.45 percent of respondents who mentioned training, development and attitudinal change endorsed these strategies as the cornerstone of affirmative action.

South Africa is on the eve of a new political dispensation. However the legacies of apartheid will not disappear overnight, in particular at government and local government level. In view of this, Hofmeyr (1993) states that advancement programmes should focus on transforming institutions, enabling the disadvantaged and shifting mindsets of white managers. This stance is supported by Pennington (1993) who states that affirmative action proved to be successful in organisations where targets were set that induced training and development objectives and budgets. In addition, these organisations had spent considerable time "sensitising" all staff members to the requirements of affirmative action.

The researcher fully supports the notion that training, development and attitudinal change are central in making affirmative action work. To ensure that these strategies have impact, it needs to be carefully monitored, evaluated and where necessary, adjusted.

5.9 OPEN-ENDED QUESTION ON HOW TO MONITOR AFFIRMATIVE ACTION POLICIES AND PROGRAMMES

The purpose of this section is to focus on those sub-categories not covered or not covered sufficiently in Sections 1, 2 and 3 of the Survey Questionnaire.

Please remember that this section, as the previous one, deals with open-ended responses and hence percentages are expected to be very low. This is so since the responses come from people who feel strongly about certain issues.

5.9.1 Independent Professional Body

Very few participants (1,3 percent) concurred that an independent professional body should monitor affirmative action policies and programmes, unless such a body is agreed to by all the relevant stakeholders. The research-

chief supports the notion that if an independent body is considered it should be acceptable to the relevant parties.

5.9.2 Internal and External Reports

In total 23 percent expressed the need for a formal reporting system on affirmative action progress.

The need for reports on affirmative action is common practice in the international experience. In Canada, employers must prepare an annual report on affirmative action results, showing inter alia, the representation of groups in respect of hiring, salary, occupation, promotion and termination of jobs (Albertyn, 1992).

This view is supported by Steiss (1982) who states that in the public sector, systematic application of control techniques have recently been employed. Moreover, emphasis on transparency in local government makes the adoption of effective management control techniques critical. This is in line with increased pressure for accountability in the public sector. Reports would in the view of the researcher, be an ideal control mechanism that should be available to the public and other stakeholders for scrutiny.

5.9.3 Comparison with Documentary Findings

The documentary results (see 5.6) were unanimously in favour of formal reports on affirmative action progress. In the survey findings 23 percent of the total sample noted that internal and external progress reports are important. Both results indicate a need for a report system on affirmative action activities.

5.10 REVISED AFFIRMATIVE ACTION CONTROL MODEL FOR LOCAL GOVERNMENT

The purpose of this section is to review the theoretical affirmative action control model for local government first developed in Chapter Two and refine it based on the empirical findings of the content analysis and survey questionnaire. See figure 5.1 on page 111 for the revised model.

The implementation of affirmative action policies and programmes is imminent as discussed in Chapters One and Two. The rapidly changing socio-political environment as well as the complexity of implementing such policies and programmes are foreign to local government. In view of these changes in the internal and external environment of local government, the researcher decided to develop a control model to assist local authorities in implementing affirmative action policies and programmes effectively.

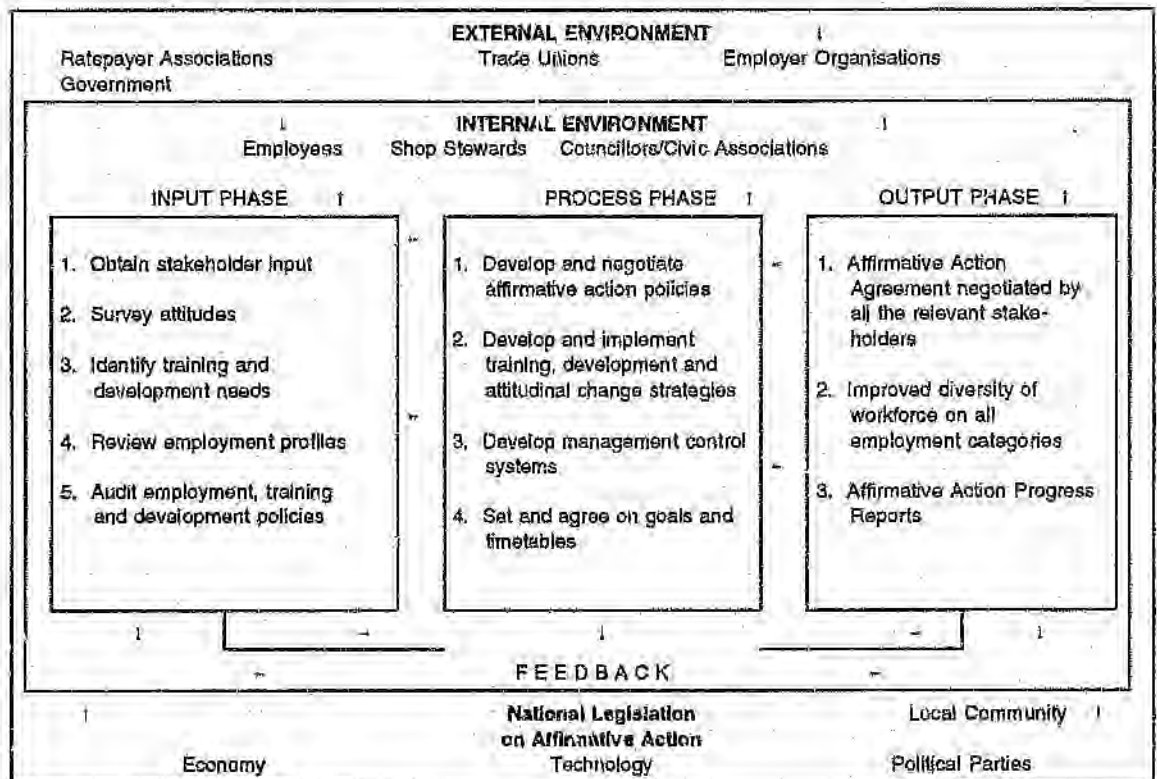
Internationally, pressure is mounting on the public sector to become more transparent and accountable in all its activities. Likewise in South Africa, organisations of civil society, such as civic associations and non-racial labour movements are increasingly insisting on transparency and accountability in local government. Affirmative action will no doubt be one of the major activities where transparency and accountability will be crucial. This makes the adoption of effective management control techniques as discussed in Chapter Two critical to ensure that organisational goals are achieved.

The Model in Figure 5.1 was developed to serve as a guide in controlling affirmative action effectively. The model is based on the systems approach theory as discussed in Chapter Two, page 26. This approach implies that the organisation is an open system which has a specific relationship with its internal and external environment. In this regard, management needs to be continuously attentive and sensitive to change in the internal and external environment in order to enable timely adaptation to such changes. In this way, the model has the capacity to rectify itself and as such sustain itself.

Moreover, the systems approach process is repetitive in nature which means there is continuous interaction between the internal and external environment as well as continuous feedback between the phases (refer Figure 5.1) This interaction and feedback will ensure that organisational goals are achieved.

A discussion follows on how the revised model works.

Figure 5.1 :
Revised Affirmative Action Control Model for Local Government (Major Cities)



5.10.1 The Input Phase

Five key dimensions were identified and will be discussed separately.

5.10.1.1 Obtain stakeholder input

The survey (refer Table 7) and documentary (refer Table 2) results emphasised the importance in involving employee representatives,

supervisors/managers, shop stewards and trade unions in the development of affirmative action strategies. In addition, the survey findings (refer Tables 7 and 11) revealed that councillors and civic associations should also be involved in affirmative action.

The inputs of councillors, civic associations and unions will essentially be at a policy and strategy formulation level. The support for these occupation groups was generally well received as revealed in the survey and documentary analyses (refer Tables 7 and 2 respectively).

Shop stewards and other employee representatives should provide input to ensure adequate control in applying policy and implementing programmes. Support for this kind of involvement was highly recommended by all occupation groups in the survey findings (refer Table 7) as well as in Table 2 of the content analysis.

5.10.1.2 Survey Attitudes

The open-ended questions revealed that for affirmative action to work the "mindsets" of management, needed to be changed. In fact, 16,4 percent of the sample mentioned the importance of this aspect in responses to the open-ended questions. The input required will hence be to survey attitudes and perceptions towards affirmative action.

5.10.1.3 Identify training and development needs

In total, 16,4 percentage percent stated in answer to the open-ended question that training and development should form the cornerstone of affirmative action. The input required in this phase will be to identify training and development needs that will support affirmative action strategies. By simply focusing on appointing people from disadvantaged groups to positions without adequate training, development, coaching and mentoring, there will be little likelihood of success.

5.10.1.4 Review employment profiles

As part of the input phase it would be vital to establish benchmarks for employment profiles. These benchmarks would establish which job categories are poorly represented by disadvantaged groups. This information will be critical in human resource planning as well as in formulating employment, training and development policies and procedures with a view to address the imbalances in these areas.

5.10.1.5 Audit employment, training and development policies

The content analysis (refer Table 3) and survey findings (refer Table 8) strongly support the importance of integrating affirmative action with employment, training and development policies and programmes. The purpose of the audit is to establish whether such policies and programmes are supportive of affirmative action interventions and if not, to align them with affirmative action.

The next phase deals with processing the information obtained in this phase.

5.10.2 Processing Phase

In this phase four dimensions were identified.

5.10.2.1 Develop and negotiate affirmative action policies

During this phase affirmative action policies will be developed and negotiated. This could include a policy statement as well as integrating it with employment, training and development policy. Furthermore, it should include enforcement procedures. In fact, the survey findings support the view that management and the trade unions should negotiate such policies (refer Table 9).

A forum, as suggested by 6,6 percent of sample in the open-ended questions of the survey (refer Table 11), should be constituted by officials, councillors, civic associations and unions, to develop and reach consensus on policies.

5.10.2.2 Develop and implement training, development and attitudinal change strategies

The open-ended survey findings revealed that the development of training, development and attitudinal change programmes are critical in the successful implementation of affirmative action interventions. These programmes will contribute towards building capacity amongst the disadvantaged groups as well as changing negative attitudes and perceptions towards affirmative action.

5.10.2.3 Develop management control systems

In total, 28,3 percent noted in the open-ended findings that affirmative action should be enforced by management systems and processes. This implies that it should form part of strategic planning and should be controlled via the performance management system. This means that affirmative action should be one of the key performance areas of managers and supervisors and that they should be rewarded for performance in this area. To legitimise the management control process, unions in particular should have an input in this process.

5.10.2.4 Set and agree on goals and timetables

The survey (refer Table 9) and the content analyses (refer Table 5) convincingly endorsed a preference for setting goals and timetables as opposed to setting rigid quotas. These goals and timetables should meet the approval of the proposed forum mentioned in 4.7.7.3. However, shop stewards, management and employee representatives should be consulted on it prior to endorsement by the forum.

The next phase pays attention to the outputs of the model.

5.10.3 Output Phase

This phase will be the acid test. Major outputs in this phase include:

- A more diverse workforce at all organisational levels which should ideally reflect the demographics of the community it serves within a realistic time frame.
- A negotiated affirmative action agreement.
- Affirmative action progress reports.

Both the content analysis (refer Table 6) and the survey findings (refer Table 11) supports the view that progress reports should be made available at regular intervals to all the stakeholders. These reports could include information on appointments, promotions, training and development, change in attitudes towards affirmative action and so on. Reports should also provide statistics on the diversity of the workforce.

5.10.4 Internal Environment

The model considers employees, shop stewards, councillors and civic associations as part of the internal environment of local government. Like councillors, civic associations represent constituencies in the community. However, civic associations reject the current apartheid structures in local government and they are currently playing a major role in democratising the system. In the current local structures coun-

cillors have decision-making authority in all the affairs of the council. Civic associations will in a new dispensation have similar powers. Both stakeholder groups hence have a direct interest in local authorities and as such are considered part of the internal environment.

5.10.5 External Environment

The model proactively anticipates changes to the external environment. It is for this reason that it is assumed that a future government will legislate for affirmative action. However, for such legislation to be effective it needs to be a product of negotiation between government, local authorities and trade unions at a national or regional level.

The model considers trade unions and employer organisations to be external to local authorities in that they are defined as organisations in their own right and have a focused interest in local government. The main goal of trade unions and employer organisations is to look after the interest of their members. This narrow focus qualifies them to be part of the external environment only.

5.10.6 Conclusion : Usefulness of the Model

The model to a large extent encapsulates dimensions on which consensus was reached in both the survey and documentary findings. These findings to a large degree are in alignment with useful practices in the international and African experience. Although the research was confined to the Major Cities, the researcher believes that it could be applied in smaller local authorities on condition that local conditions are taken into consideration.

The Model incorporates the theory on control as discussed in Chapter Two. The main purpose of the control process in terms of the Model is to achieve affirmative action goals.

The control types suggested by Otley (1987) namely, behaviour, output and input form an integral part of the Model. The Model provides for behaviour control by way of affirmative action policies and programmes. These policies and programmes give direction and could serve as a safety net in the event of disputes arising. The output control of the Model is catered for by means of affirmative action goals and timetables. This creates ample space for user creativity and innovation. Finally, input controls such as training, development and attitudinal change strategies play a pivotal role in support of output and behaviour controls. The application of all three control types enhance the effectiveness of the model, according to Otley (1987).

The Model also deals adequately with constraints identified by Marciariello (1984) as management style, policies, goals and objectives. The Model assumes a participative management style via, amongst others, the inclusion of trade unions which will enhance the legitimacy of the process. Affirmative action policies should be formulated in line with the overall goals of the organisation. In this way, affirmative action will be linked to u. business needs and will hence be effectively managed and controlled.

Finally, control without setting measurable goals is bound to fail. Through the management control process, key variables critical to affirmative action are identified and performance measures set accordingly. This is controlled via the performance management system which rewards behaviour supportive of affirmative action goals. This form of control reinforces acceptable behaviour in a non-threatening manner.

The model is useful in that it simplifies the complexity of affirmative action, particularly in an environment where the learning curve levels are low or non-existent. The uncertainty in dealing confidently with the issue of control of affirmative action is certainly one of the major reasons why progress in this area is slow. The model will provide local authorities with sufficient guidelines to control affirmative action effectively. Finally, it is critical for affirmative action to succeed in order to ensure a peaceful and stable transition to a new dispensation in local government.

5.11 CONCLUSION

This Chapter presented a summary and interpretation of the major findings as well as a revised version of the Affirmative Action Control Model. In Chapter Six, conclusion will be drawn, limitations discussed and recommendations for future research made.

CHAPTER 6

CONCLUSIONS AND SUMMARY OF THE RESEARCH

6.1 INTRODUCTION

The purpose of this chapter is to highlight the main findings of the investigation and to draw final conclusions. Specific attention will be given to stakeholder involvement in the development, implementation, monitoring and evaluation of affirmative action policies and programmes. Limitations will be highlighted and recommendations for further research will be made.

6.2 SCOPE OF THE RESEARCH

The main purpose of the research was to establish how adequate control systems for affirmative action policies and programmes can be implemented in local government. Current political changes in transforming local government prompted this study. The successful transition to a non-racial non-sexist democratic government will, to a large degree, depend upon the diversity of the workforce in local government. This implies that for the disadvantaged to enter the mainstream of local government, employment, training and development policies and strategic planning processes will have to be reviewed and aligned accordingly. To ensure equality in local government control will have to be exercised.

The output of the research was to develop an affirmative action control model for local government, based on the literature review, content analysis and survey research. A theoretical model was developed in Chapter Two and refined in Chapter Five.

The research methods employed was highly effective in that the results of the content analysis supported the survey questionnaire findings.

The main findings were as follows :

- Consensus on negotiating affirmative action policies between management and the trade unions at individual, local authority level, was exceptionally high.
- There appears to be a reluctance to involve government in enforcing affirmative action policies and programmes by council officials and councillors. The involvement of government is more acceptable for unions and civic associations.
- There is some support that civic associations and councillors should be involved in formulating affirmative action policies and programmes. However, officials are not keen to involve councillors in negotiating affirmative action policies and programmes.
- Government involvement in affirmative action should at best be to provide guidelines. These guidelines must be negotiated by all the parties at a national level.
- The involvement of shop stewards in the implementation of affirmative action policies was exceptionally well received by all respondents.
- There was very high consensus on the involvement of trade unions in monitoring and evaluation of affirmative action policies and programmes.
- Favourable consensus was demonstrated on enforcement of affirmative action by agreement between management and the trade unions.

- That training, development and attitudinal change strategies should form the cornerstone of affirmative action, was well supported.
- Affirmative action processes must be transparent and inclusive. Special mention was made of progress reports on affirmative action. These reports should be available for public scrutiny.
- Affirmative action should be integrated with employment and training policies as well as with strategic planning.
- The control of affirmative action should be jointly managed by trade unions and management.
- Trade unions favour negotiation on affirmative action on a sector basis more than do councillors and officials.
- Imposition of fines by government for non-compliance was not well received.
- Setting goals and timetables as a means of controlling affirmative action were preferred as opposed to setting rigid quotas.

6.3 LIMITATIONS OF THE RESEARCH

The research was limited in that only the perceived major stakeholders were involved. For example, only the Major Cities were involved and as such, the findings may not be generalised unconditionally across all other smaller local authorities. External organisations such as unions and civic associations were included in the study, but ratepayer associations were excluded since they are represented by councillors.

The implementation of the model presented in Chapter Five may only be useful in the Major Cities. It could, however, be used in smaller local authorities as a guide with the proviso that local circumstances are considered.

Unfortunately very few civic associations responded to the survey questionnaire despite several attempts to obtain their views.

Finally it was not possible to test the model's effectiveness.

6.4 RECOMMENDATIONS FOR FURTHER RESEARCH

The following areas of research are recommended for further study :

- the effectiveness of the affirmative action control model developed in this study could be tested in future;
- the role of councillors and civic associations in negotiating affirmative action policies should be explored;
- the methods of dealing with affirmative action disputes at industrial council level should be investigated;
- the role of training and development in building capacity in a new local government dispensation should be reviewed;
- the role of government in affirmative action at local government level should be explored; and
- the role of affirmative action committees in controlling affirmative action policies and programmes at an operational level should be investigated.

6.5 CONCLUSION

The nature of the research was exploratory and took the form of theory building as opposed to theory testing. For the first time in South Africa and possibly in the world, an attempt was made to assess how best control systems for affirmative action policies and programmes could be implemented in local government. The input from key stakeholders in local government made it possible to develop a model that could be used to control affirmative action policies and programmes. It thus suggests that there is wide scope for future research in the area of control of affirmative action in local government.

Local government is on the eve of revolutionary changes. Affirmative action is no doubt a key issue that needs to be addressed. The affirmative action control model developed can assist local authorities to effectively implement such policies and programmes.

Finally, government should take note for their future involvement in affirmative action. A prescriptive unilateral stance could be chaotic. National legislation will have to be negotiated by all the relevant stakeholders.

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**RESOLUTIONS OF THE
LOCAL GOVERNMENT NEGOTIATION FORUM**

REPORT OF THE MANAGEMENT COMMITTEE OF THE LGNF

MEMBERSHIP AND PARTICIPATION IN THE LGNF

INTRODUCTION:

The Management Committee of the LGNF considered various proposals and options and consequently proposes that the following be adopted officially by the LGNF:

1. RELATIONSHIP WITH THE MULTI-PARTY NEGOTIATING FORUM

It noted that the MPNF has already commenced discussions on issues related to local government. It resolved to make representations to the appropriate structures of the MPNF, on the following:

- a) Local government issues in general;
- b) To motivate its proposal that the Sub-Council on Regional and Local Government to be formed, should become a member of the LGNF and participate in its structures;
- c) The MPNF should agree that the decisions of its Sub-Council on Regional and Local Government should be taken with the concurrence of the LGNF.

It is important to include political parties and organisations within the LGNF process. The Management Committee considered that the Multi Party Negotiating Forum (MPNF) should participate in the LGNF process. Prior to the establishment of a TEC and its Sub-council, the LGNF should maintain direct and regular contact with the MPNF. After its establishment the Management Committee should arrange for the Sub-Council on Regional and Local Government of the proposed TEC, to participate at all levels of the LGNF.

2. MEMBERSHIP:

- 2.1 The power to accept or reject membership to the Forum is hereby delegated to the Management Committee. It will inform the LGNF of all applications which were approved or refused.
- 2.2 The Management Committee will consider every application on its own merits. Requests will be considered on the basis of the following:
- * The applicant should be an organisation which is national in character; and
 - * the applicant should be a local government stakeholder or motivate its particular interest in local government.

Each applicant should subscribe to the mission statement of the LGNF and submit the following in writing.

- (i) Its constitution
- (ii) A list of office bearers
- (iii) Details of membership
- (iv) Relevant extracts from minutes of its last AGM

- 2.3 Applicants should indicate and motivate whether they wish to be regarded as part of the statutory delegation or of the non-statutory delegation.
- 2.4 When considering applications, due cognisance should be taken of the logistical and financial capacity of the LGNF.

3. OBSERVER STATUS:

- 3.1 Also in the discretion of the Management Committee, is the granting of observer status with participatory rights. Such observers should be represented by a maximum of two persons in the LGNF plenary meetings. They:
- * will have the same speaking rights as members, to participate in LGNF plenary meetings, except in the process of decision-making;
 - * may be invited to participate in structures of the LGNF on such conditions as may be stipulated; and
 - * shall be responsible for their own subsistence and travel expenses.
- 3.2 It is the responsibility of the Management Committee to establish liaison with other relevant negotiating forums. It will address invitations to such forums to delegate no more than two representatives per forum to attend plenary meetings of the LGNF as observers.

4. OTHER PARTICIPATION:

- 4.1 As a general rule, the public and media will be welcome to attend all plenary meetings of the LGNF. Media liaison remains the function of the Co-Chairpersons of the LGNF.
- 4.2 The LGNF may receive or request relevant written proposals from organisations and individuals not represented on the LGNF.

REPORT OF THE MANAGEMENT COMMITTEE OF THE LGNE

LOCAL GOVERNMENT TRAINING PRINCIPLES

1. GENERAL

- 1.1 Appropriate skill based training and development is the foundation of an effective and accountable local government service.
- 1.2 Training, education and skill development for all employees should be viewed as part of human resources management and an investment in the future.
- 1.3 Employers and employees and their respective representatives should jointly determine education, training and development policy for the local government sector.
- 1.4 Education, training and development needs must be prioritised.
- 1.5 Training must be task orientated.
- 1.6 Education, training and development programmes and results must be evaluated.
- 1.7 The education, training and development initiative and structures created as a result of the training initiative should be local government orientated.
- 1.8 Local authorities have a responsibility to contribute to the uplifting standards of education and training, including literacy and numeracy to raise employee skills.

- 1.9 Education, training and development must be continually updated to meet the needs of changing communities and a developing economy.
- 1.10 Education and training should be modular and competency based and flexible combinations of modules should be possible.

2. DUTIES OF EMPLOYERS

- 2.1 The employer has a duty to train and continue to train employees with a view to developing the employee to realise his/her full potential within the objectives of the organisation.
- 2.2 The employer is a democratically elected representative of the community. The employer acting on behalf of the community, stipulates what services are to be rendered and what posts are required to facilitate the rendering of such services.
- 2.3 The employer, through its management, is responsible for executing education, training and development policy and programmes.
- 2.4 Employers must of necessity act collectively, so as to maximise the utilisation of management level expertise to promote and manage the education, training and development initiative.

3. FINANCES FOR TRAINING

- 3.1 The financing of education, training and development should be the collective responsibility of the employer, but external financial resources should also be made available.

- 3.2 Sufficient resources must be budgeted for by every local authority to meet the reasonable education, training and development requirements of employees and employers alike.
- 3.3 Since the central government has a vested interest in the proper functioning of local government, the primary source of external funding must be provided by the central state, but the central state's role should be confined to that of facilitator rather than as a initiator of education, training and development required.
- 3.4 Provincial/regional government has an obligation and duty to assist in the process of education, training and development.

4. RIGHTS AND DUTIES OF EMPLOYEES

- 4.1 The employee, as a worker, has the right to be trained and to continue to be trained to realise his/her full potential.
- 4.2 Employees have a responsibility to use and participate in the education and training so provided in the furtherance of the objectives of their employers and their careers.
- 4.3 All employees have the right to paid time off at their normal rates of pay for accredited education and training courses and for agreed study purposes in accordance with an agreed policy.
- 4.4 Employees that will or may become redundant have a right to training and retraining to equip them for alternative employment.
- 4.5 The role of trade unions is crucial to the participatory process.

5. TRAINING STRUCTURES

- 5.1 There should be a single education and training board for the local government sector to ensure a coherent and co-ordinated approach to education, training and development in all local authorities.
- 5.2 Employers and employees should enjoy equal representation on the education and training board.
- 5.3 Trade union representation on education and training boards should be proportional to trade union membership.
- 5.4 An education and training strategy which emphasises the development role of local government administration must be determined by the Board.
- 5.5 There must be clear links and bridges between formal education, the local government education, training and development system and other education and training systems.
- 5.6 The local government education and training board has a role to play in:
 - 5.6.1 raising community awareness of the role, functions, structures and procedures of local government;
 - 5.6.2 capacity building;
 - 5.6.3 community development; and
 - 5.6.4 in facilitating constructive relations between local authorities and the communities they serve.

- 5.7 The education and training board should provide for the education, training and development and orientation of councillors.

6. TRAINING AND OCCUPATIONAL GRADING

- 6.1 Base line criteria to fill local government posts should be determined by employers and employees jointly.
- 6.2 Minimum educational/competency levels must be determined for each post category.
- 6.3 A structured development programme should be introduced to equip employees for their present jobs and provide them with future career opportunities.
- 6.4 Every local government employee has a right to a career path with the prospect of advancement upon the completion of accredited education, training and development courses within the limits of the approved organisational structure.
- 6.6 All employees should receive appropriate rewards and incentives for education, training and development and the completion of accredited courses, in terms of an agreed policy.
- 6.7 There should be a clearly defined and agreed upon articulation between local government education, training and development, adult basic education and job grading within local authorities.
- 6.8 No job grade or employment position should require any formal qualification which is not inherently required for the job.

- 6.9 All education, training and development should be based on standards applicable to the local government undertaking and broad-skill bands defined within the sector while at the same time providing particular work place skills and paying the base for further development and training.

7. AFFIRMATIVE ACTION

- 7.1 All practices which have the effect of unfairly discriminating against employees on the basis of race or sex on any other basis are detrimental to the delivery of an efficient and accountable local government service.
- 7.2 Education, training and development form the cornerstone of any affirmative programme to be agreed upon by employers and employees.
- 7.3 The lack of formal educational qualifications, or any other disadvantages from which employees may suffer as a result of unfair discriminatory practices, should not in any way prevent employees who are capable of advancement from receiving education, training and development and improving their skills.
- 7.4 Education and training programmes must include provision for recognition of prior learning, however or where ever it was acquired, provided that the learnt skills can be verified and tested.

8. ADULT BASIC EDUCATION

- 8.1 Adult basic education must be accommodated in education, training and development programmes according to the following guide-lines:
- 8.1.1 trade union involvement in all aspects of literacy training;

- 8.1.2 courses must be designed to take learners to nationally recognised standards;
- 8.1.3 local authorities must provide facilities and support programmes for the training of trainers.

LOCAL GOVERNMENT NEGOTIATING FORUM

MANAGEMENT COMMITTEE

TRANSITIONAL LOCAL GOVERNMENT STRUCTURES

Attached hereto for noting is a Progress Report dated June 30 together with its annexures, viz:

- A. Statutory Delegation's proposed objectives;
- B. Non-Statutory Delegations's proposed objectives;
- C. Demarcation Boards: draft;
- D. Forum guidelines: draft.

Management Committee recommends the following motions for adoption by the Plenary Session:

1. **Phasing:**

- That the process of transition towards fully democratic non-racial local government should take place in phases, as follows:

1.1 **PRE-INTERIM PHASE**, from the present until elections have been held for interim/transitional structures. This logically has two distinct stages, viz.

- A. from the present until transitional legislation is in place (perhaps by the end of September, 1993) and changes are effected in terms thereof at the local and metropolitan levels; and
- B. from commencement of such arrangements until interim local and metropolitan structures are elected.

- 1.2 The **INTERIM PHASE**, to commence with local and metropolitan elections for a body or bodies which would (subject to national/regional guidelines) then act as council/s.
- 1.3 The **FINAL PHASE**, which would commence with the implementation of the final constitutional model at local level.

2. *Legislation:*

- That a Local Government Transition Act be drafted to repeal the Interim Measures Act, 1991, the Black Local Authorities Act, 1982 and other discriminatory legislation affecting local government, and to make suitable provisions in their stead and that a drafting committee be appointed by the Management Committee, and that they should proceed with preparation of detailed proposals for a draft of such legislation.

3. *Appointed Structures for the Pre-Interim*

- 3.1 That the concept of appointed transitional local councils (TLC's) and transitional metropolitan councils (TMC's) be accepted, linked to:
 - elections to be held for interim local government structures within a stipulated time after national elections;
 - nominations for these pre-interim council structures to be made by forums to be constituted in each local/metropolitan area;

- appointed councils to be nominated on a 50/50 basis between the statutory and non-statutory components.

- 3.2 that as a general principle transitional councils will be appointed to unite politically those areas where local government has been divided into separate racially-determined units;
- 3.3 that for a metropolitan area there will be an appointed TMC and either TLC's or metropolitan sub-structures for units within it, and for all other local government areas TLC's would be appointed;
- 3.4 that objectives for the pre-interim and interim phase are to be incorporated in a "package" to include provisions for delivery of services and payment therefor and the necessary administrative and financial arrangements.

4. Differentiation

- that there must be appropriate differentiation between various complex situations, e.g. metropolitan, non-metropolitan and rural areas; and
- that enabling legislation should allow for local adaptations and without prejudices to the national framework.

5. Demarcation Boards

- that in accordance with national guidelines a Demarcation Board should be constituted for each Province/region to conduct investigations and report back to the Provincial/regional authority in consultation with the Regional Monitoring Commission on the demarcation of metropolitan and local government areas for the purposes of demarcating TMC and TLC boundaries for elections and also for confirmation of forum areas in cases of dispute.

6. Finance and services

- that in the light of the above resolutions the questions of arrears, finances, tariffs, provision of services and payment therefor are referred back to the Management Committee with instructions to submit recommendations for consideration at the next meeting of the Forum.

LOCAL GOVERNMENT TRAINING BOARDS

THE MANAGEMENT COMMITTEE OF THE LGNF RECOMMENDS:

1. That it be resolved that the attached draft agreement on the Local Government Training Boards be adopted as an agreement of the LGNF.
2. That the principle of only one Training Board in the Local Government Undertaking be endorsed.
3. That as an interim measure, the Minister of Local Government exercise his powers in terms of the Local Government Training Act (Act 41 of 1985) to re-constitute the Training Board for Local Government Bodies on the basis detailed in the attached draft agreement.
4. That the constitution of the Apprenticeship Training Board for Local Authorities be amended in order for its composition to be re-constituted in the same manner as that of the re-constituted Training Board for Local Government Bodies.

LOCAL GOVERNMENT TRAINING PRINCIPLES

That the attached document on Local Government Training Principles reflecting the substantial agreement reached on said principles, be noted and referred back to Working Group 3 for adjustment and final ratification as an agreement of the LGNF, at its next meeting.

REORGANIZATION OF LOCAL GOVERNMENT ADMINISTRATIONS

THE MANAGEMENT COMMITTEE OF THE LGNF RECOMMENDS:

1. That the attached document on the above be noted and the general framework for dealing with amalgamation and reorganisation be referred back to Working Group 3 for further negotiation, referral to principals and final adoption as an agreement at the next meeting of the Forum.
2. That the necessity be noted that every Local Authority take steps to do a detailed audit of its personnel which include information on occupations, skills, age, years of service, wages and conditions of service, and such other information as will facilitate analysis of how different staff complements of separate Local Authorities can be amalgamated or re-organised. This should be communicated to each Local Authority now, so as to encourage them to take steps in this regard.
3. That the proposals for clause 7 (p.54) be adopted.

REPORT OF THE MANAGEMENT COMMITTEE OF THE LGNE
PROPOSED PROCEDURE FOR DEALING WITH THE AMALGAMATION
OF PREVIOUSLY SEPARATE ADMINISTRATIONS OR THE
REORGANISATION OF ADMINISTRATIONS

1. IMMEDIATE TASKS AND FUNCTIONS OF ADMINISTRATIONS DURING
THE INTERIM PERIOD

- 1.1 During the interim period, interim authorities must conduct and complete the audits referred to in sections 3 and 4 hereof, and complete the process of employer/employee bargaining envisaged in section 8. At the same time they must:
 - 1.1.1 service interim political structures;
 - 1.1.2 continue to operate and maintain services at appropriate levels;
 - 1.1.3 rehabilitate services in need of rehabilitation; and
 - 1.1.4 identify urgent development needs in areas which are under-serviced or not serviced at all and ensure that immediate improvements occur in these areas.
- 1.2 In particular the following tasks and functions must be addressed:
 - 1.2.1 urgently upgrading service provision to those communities receiving less than minimum agreed services;

- 1.2.2 equitable delivery of services in accordance with minimum service requirements and financing mechanisms determined by the negotiating process;
- 1.2.3 identifying education, training and development priorities to assist affirmative action programmes and to re-orient administrations to new tasks and objectives;
- 1.2.4 the establishment of an efficient and accountable administration to the whole community;
- 1.2.5 redeploying staff in terms of agreed principles;
- 1.2.6 integrating the various employment streams of the respective authorities amalgamated in terms of negotiated procedures;
- 1.2.7 preparing for local authority elections within the framework of a local electoral system agreed via the negotiating process; and
- 1.2.8 beginning the process of eliminating disparities and discrepancies between grading systems and salary scales (including fringe benefits).

2. TRAINING NEEDS

- 2.1 The issue of training must be addressed immediately and cannot await the introduction of amalgamated or reorganised administrations.
- 2.2 Particular attention should be paid to affirmative action and the existing staff of black local authorities. Without excluding any other function it should be focused towards:
 - 2.2.1 management and administration; and
 - 2.2.2 technical training.
- 2.3 In this regard modular training could speed up the process.

3. AUDIT OF PERSONNEL

- 3.1 In order to address the issues of training, affirmative action, location of personnel and amalgamation and reorganisation of local authority administrations, an audit of personnel in each local authority area should be conducted.
- 3.2 An audit of all staff of existing local authorities (including RSC's and JBS's) currently providing community or bulk services should be undertaken immediately by the chief executive officer of each such local authority and made available by each chief executive office of each such local authority to Working Group 3 of the Local Government Negotiating Forum (LGNF) on request by Working Group 3.
- 3.3 In addition the chief executive officer should report the detail of all contracts for the delivery of bulk services such as water supply, electricity supply, refuse collection, etc., normally undertaken by local government.
- His report should include the name of the contractor, the annual value of the contract and the approximate number of employees engaged in providing the service.
- 3.4 The audit should consist of a summary of all existing staff within categories determined by Working Group 3. There should be two audits; one for the purpose of service delivery, the other for affirmative action and training. The first audit should include general information, the second should include specific employee information. These audits should be conducted concurrently with the understanding that the former audit will be easier to compile. Local authorities should have available a detailed record of all staff in its employ, for use at the time that amalgamations/reorganisations take place.

The audit should also reflect the occupational grading system used by the council. Working group 3 should prepare a questionnaire which clearly sets out the categories required to be included in the audit for completion by the chief executive officer of each local authority.

4. AUDIT OF SERVICES

In view of the impact that the question of service delivery will have on administrative structures and the success and legitimacy of interim authorities, and audit of existing levels of service and future service needs should be conducted. Working Group 2 should formulate a proposal in this regard.

This audit should focus on areas which are under serviced or not serviced at all and should cover services such as water, electricity, sewerage, refuse collection, roads, storm-water drainage, health and the state of infrastructure.

5. PROCEDURE FOR COMPILING OF AUDITS

The local government departments of the various provincial administrations should request each chief executive officer to conduct the requisite audit and supervise the preparation of the audits. Where necessary, the provincial administrations should assist chief executive officers/local authorities in the preparation of the audits. The administrations should also endeavour the request and supervise the audits in the self-governing territories. As far as the TBVC States are concerned chief executive officers of local authorities falling within the borders of South Africa should be requested to investigate possible steps to enable them to conduct the audit.

6. PROCEDURE FOR REORGANISATION AND AMALGAMATION

- 6.1 Once the boundaries of new Interim Authorities (ILA's) and Interim Metropolitan Authorities (IMA's) have been demarcated, their powers identified and interim local authorities have been established, each interim authority must immediately be given those parts of the audit relevant to its area of jurisdiction. It must ensure that its audit is complete and then analyze all existing posts and terms and conditions of employment within its area of jurisdiction and draw up written proposals for:
- 6.1.1 short and medium term service delivery requirements and appropriate administrative structures and staffing requirements for all such service functions, including operations and maintenance, capital investment and development, to be properly provided on an accountable basis;
 - 6.1.2 the manner in which the managerial, administrative and service employment streams of the respective authorities shall be integrated;
 - 6.1.3 the proposed redeployment of staff in terms of agreed principles so as to be able to deliver services equitably and with the maximum efficiency to the whole community (this proposal must also include details of the existing office and infrastructural location of all employees);
 - 6.1.4 eliminating discrepancies between employees engaged in similar work as rapidly as is practically possible;
 - 6.1.5 specific training and retraining for the purpose of implementing an affirmative action programme (for example internship training) as well as to ensure the maintenance of productivity and work standards, and to orientate the ILA or IMA towards a development perspective;

6.2 In drawing up the proposals, interim authorities should take into account new development projects and in particular the need to urgently upgrade services in areas which are under-serviced or not serviced at all, and the possible need for additional staff in this regard.

6.3 The proposals should be prepared as a matter of the greatest urgency following the establishment of ILA's. Appropriate urgent deadlines should be established.

7. NEGOTIATIONS ON THE INTEGRATION OF CONDITIONS OF SERVICES AND WAGES AND OTHER BENEFITS

7.1 A Task group of Working Group 3 comprising:

- * 50% representatives of local government employers; and
- * 50% representatives of local government employees;

and which is sufficiently representative of all major unions and employers should be established to:

- 7.1.1 investigate the establishment of a national and/or regional industrial council/(s) or other suitable body and draft a proposal for the establishment of such a national and/or regional industrial council/(s) or other body/bodies;
- 7.1.2 develop a deadlock breaking mechanism to deal with failures to reach consensus under item 8.4; and
- 7.1.3 formulate recommendations for broad guidelines regarding the re-organisation and amalgamation of administrations in the period prior to the establishment of a national industrial council or other suitable body.

8. EMPLOYER-EMPLOYEE BARGAINING

- 8.1 Those proposals drawn up by interim authorities in terms of paragraph 6 above which affect employer-employee relations must be tabled at local level bargaining forums representative of the interim authority (as employer) on the one hand and of the union parties which have sufficient representation amongst the affected employees on the other.
- 8.2 Each forum should consult and negotiate in an effort to achieve consensus on the proposals.
- 8.3 Each forum should be bound in its consultations and negotiations by principles negotiated at the LGNF and/or the national industrial council or other suitable body.
- 8.4 If no consensus is reached, or if it is not possible to reach consensus on certain issues, then the failure to reach consensus or the issues on which it was not possible to reach consensus should be referred to the deadlock breaking mechanism determined by the Task Group referred to in paragraph 7, the decisions of such deadlock breaking mechanism to be final. In general deadlocks relating to political issues should be referred to the LGNF for resolution. Deadlocks relating to terms and conditions of employment should be referred to the deadlock breaking mechanism for resolution.
- 8.5 Once consensus is reached, each employee must be informed of their new designation and posting by the interim local authority. Each unionised employee may lodge any appeal or grievance concerning such proposals through their union within a specified time period. Non-union employees should lodge appeals/grievances directly within the local bargaining forum.

- 8.6 Failing a consensus agreement at the local bargaining forum or LGNF the issues should be referred to an Arbitration Board established on a basis agreed to by the LGNF which should consider the issues in dispute in the collective context and in the context of the objectives of the particular amalgamation and make a final decision. Such Board should also determine whether any grievance or dispute arose or does not arise from amalgamation where this is in dispute. On the establishment of such Board the compulsory arbitration provisions of the labour relations Act and the provisions of any other labour relations agreements should be suspended for any disputes determined by the Board to have arisen directly out of amalgamation.

SCHEDULE OF SOME KEY PROBLEM AREAS LIKELY
TO BE ENCOUNTERED IN THE
AMALGAMATION/REORGANISATION OF ADMINISTRATIONS

1. Key problem areas which are anticipated include the following:
 - 1.1 Refusal of existing authorities to co-operate with the national audit.
 - 1.2 Refusal by key parties to negotiate and/or negotiate in good faith and/or to participate in interim authorities.
 - 1.3 Resistance of staff to redeployment.
 - 1.4 Resistance by staff threatened with redundancy.
 - 1.5 Lack of experience of local government on the part of many appointed members of ILA's and IMA's.
 - 1.6 Lack of capacity on the non-statutory side.
 - 1.7 Inadequacy of existing training programmes.
 - 1.8 Finance for provision of infrastructure, buildings, etc. for redeployed staff.
 - 1.9 Problems arising from discrepancies in wages and conditions of employment.
 - 1.10 Integrating disparate grading systems.
 - 1.11 Dealing with disputes regarding outstanding loans, debts and contracts.

APPENDIX 2

EMPLOYMENT COMPOSITION OF THE PUBLIC SECTOR - 1990

TOTAL POPULATION (POP) : ECONOMICALLY ACTIVE POPULATION (EAP) :	30 797 000 11 073 000 % of Public Sector	Cumulative Total	% Pop (% EAP)
PUBLIC SERVICE		748 302	2,4 (6,8)
- Central Government Departments	31,2		
- Provincial Administrations	13,3		
EXCHEQUER PERSONNEL		1 006 737	5,3 (9,1)
- Public Service	44,5		
- Self-governing Territories	11,1		
- Parastatals :	1,5		
Scientific Councils			
Cultural Institutions			
S.A. Development Trust			
- Universities and Technikons	2,7		
PUBLIC SECTOR		1 662 335	5,4 (15,0)
- Exchequer personnel	59,8		
- Transnet	10,8		
- Posts & Telecommunications	5,9		
- Local Authorities	15,1		
- Agricultural Control Boards	0,2		
- Public Corporations (eg. Eskom)	8,2		

Source : Commission for Administration: Exchequer personnel 1990.

APPENDIX 2

EMPLOYMENT COMPOSITION OF THE PUBLIC SECTOR - 1990

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- Public Service	44,5		
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- Transnet	10,8		
- Posts & Telecommunications	5,9		
- Local Authorities	15,1		
- Agricultural Control Boards	0,2		
- Public Corporations (eg. Eskom)	8,2		

Source : Commission for Administration: Exchequer personnel 1990.

APPENDIX 3

SIZE OF SENIOR MANAGEMENT CADRE OF PUBLIC SECTOR

2.3 Size of Senior Management Cadre of Public Sector
(with racial and gender breakdown)

		Whites	Coloureds	Indian	Black
Director-General,	Male	197	1	1	2
deputy-DG or	Female	0	0	0	1
equivalents,	Total	197	1	1	3
	[202]				
Ambassador,	Male	10	0	0	0
Commissioner-	Female	1	0	0	0
General, etc.	Total	11	0	0	0
	[11]				
President,	Male	16	15	0	8
Chairman of a	Female	0	0	0	0
Council or	Total	16	15	0	8
Commission	[39]				
Director or	Male	4 434	17	21	52
equivalent	Female	119	2	6	6
	Total	4 553	19	27	58
	[4 657]				
Executive	Male	224	0	0	6
Official	Female	63	0	0	0
(Control level)	Total	287	0	0	6
	[293]				
Town Clerk,	Male	621	3	5	9
-Treasurer	Female	102	0	0	1
	Total	723	3	5	10
	[741]				
Government	Male	1 139	9	16	108
Administrator,	Female	38	0	3	2
& related	Total	1 177	9	19	110
managerial	[1 315]				
Grand Totals		6 564	47	52	195

(Source: Central Statistical Services, 1989 Manpower Survey)

APPENDIX 4

**COVERING LETTER
AND QUESTIONNAIRE**

Questionnaire

Control of Affirmative Action in Local Government

*Completed Questionnaires
should be returned by :*

*Friday
5 November 1993*



Human Resources Directorate

CITY OF JOHANNESBURG

P.O. Box 10638
Johannesburg 2000

Tel: (011) 836-3711
Fax: 492-1263

21 October 1993

Dear Participant

**Research Project :
Affirmative Action Control Model for Local Government**

Affirmative action is currently enjoying prominence on the agenda of both private and public sector organisations. Given the international experience, the need to control affirmative action will no doubt be a key issue.

In view of the above I have decided to conduct research on the Control of Affirmative Action in Local Government, for the purposes of completing a Masters Degree in Management at the Wits Business School. The objective of the research is to develop an Affirmative Action Control Model for Local Government.

To make the above research possible, kindly complete the attached questionnaire, which will take no more than 20 minutes of your time, and return it in the envelope provided or fax to (011) 492 1263, on or before 5 November 1993. Since only the Major Cities, Unions and Civic Associations will be involved in the study, it is vital that every questionnaire is returned. Responses will be handled with strict confidentiality and neither you nor your organisation will be identified in any way in the research report.

If you wish to clarify any matter concerning the research or the questionnaire kindly contact me at :

(011) 836 3711 (work)
(011) 945 5076 (home)

If you would like to have a summary of the research findings, kindly complete the attached application form.

Thank you for your valuable assistance.

Yours faithfully

C. F. Cain

CHARLES CAIN
Student



UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

The Graduate School of Business Administration
2 St David's Place, Parktown, Johannesburg, 2193 South Africa

✉ P O Box 98, WITS
2050 South Africa
📠 'Embark'
☎ 4-27125 SA
📞 (011) 643-6641
Fax (011) 643-2336

This confirms that Charles Cain is a registered Masters of Management (Human Resources) student at the Wits Business School and that the aforementioned research project is being conducted as a requirement towards his degree. Your co-operation in completing and returning the attached questionnaire will be appreciated.

P.C. 
DR M BENDIXEN

Research Co-ordinator

BIOGRAPHICAL DETAILS

1. Please indicate your current position by ticking the appropriate option.

Council Official (Executives only)	<input checked="" type="checkbox"/>
Councillor	<input type="checkbox"/>
Union Official (Office Bearer)	<input type="checkbox"/>
Civic Association Official	<input type="checkbox"/>
Other (Please State It) :	<input type="checkbox"/>

2. Please indicate the local authority you are currently involved in by making a tick next to the applicable City.

Bloemfontein	<input checked="" type="checkbox"/>
Durban	<input type="checkbox"/>
Cape Town	<input type="checkbox"/>
Johannesburg	<input type="checkbox"/>
Pietermaritzburg	<input type="checkbox"/>
Port Elizabeth	<input type="checkbox"/>
Pretoria	<input type="checkbox"/>

DEFINITION OF KEY CONCEPTS

Please familiarise yourself with the definitions of the following key concepts used in the Questionnaire before answering the questions on pages 2 to 8.

- 1 **Affirmative Action :** Means to make special efforts to train, coach, mentor, recruit, select and promote disadvantaged groups (i.e. coloureds, blacks, Asians and women) in local government.
- 2 **Affirmative Action Programmes :** Means training, education, coaching and mentoring programmes to make it possible for disadvantaged groups (blacks, coloureds, Asians and women) to compete on an equal footing with advantaged groups (white males).
- 3 **Control of Affirmative Action :** Means ensuring that the aims of affirmative action are achieved by monitoring, evaluation, co-ordinating, policies, procedures and enforcement.
- 4 **Measurement :** Means determining how effectively affirmative action goals are achieved.
- 5 **Strategic Planning :** Overall plans that local authorities need to implement to provide an effective service to ratepayers and residents.
- 6 **Employee :** Local Government employees.
- 7 **Management :** Local Government supervisors/managers.
- 8 **Employer Organisations :** Local Government organisations.
- 9 **Employee Organisations :** Unions

Questionnaire

Control of Affirmative Action in Local Government

Each question in this questionnaire relates to affirmative action in local government.

SECTION 1

This section deals with the involvement of stakeholders in the control of affirmative action in local government. A stakeholder is any grouping or individual that has an important interest in the welfare and prosperity in local government. It is any group or individual who is affected by the organisation's purpose.

INSTRUCTIONS

For the statements listed below please indicate your level of agreement, disagreement or otherwise by ticking the option you prefer.

NB : *THERE ARE NO RIGHT OR WRONG ANSWERS. I AM SEEKING TO DETERMINE HOW DIVERSE OPINIONS ON THESE ISSUES ARE.*

Example

1. Employees should be consulted on affirmative action issues.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
				/

INTERPRETATION

This means that you **strongly agree** that employees should be consulted on affirmative action issues.

- 1.5 Affirmative action policies should be negotiated between management and the trade unions.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.6 All employees should be consulted on the development of affirmative action programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.7 Councillors should be involved in negotiating affirmative action policies.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.8 Civic Associations should play a role in developing affirmative action policies.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

1. STAKEHOLDER INVOLVEMENT

INSTRUCTIONS

For the statements listed below please indicate your level of agreement, disagreement or otherwise by ticking the option you prefer.

- 1.1 Central government should advise local authorities in developing affirmative action policies and programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.2 Shop Stewards should be involved in implementing affirmative action policies and programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.3 Participation of disadvantaged managers in the development and implementation of affirmative action programmes is vital.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.4 White managers should be involved in the development of affirmative action policies and programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.5 Affirmative action policies should be negotiated between management and the trade unions.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.6 All employees should be consulted on the development of affirmative action programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.7 Councillors should be involved in negotiating affirmative action policies.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 1.8 Civic Associations should play a role in developing affirmative action policies.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

SECTION 2

This section deals with affirmative action and how it should be linked to personnel and training policies as well as strategic planning in local government.

INSTRUCTIONS

For the statement listed below please indicate your level of agreement, disagreement or otherwise by ticking the option you prefer.

- 2.1 For affirmative action to be effectively controlled it should form part of employment and training policies and procedures.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree

- 2.2 Affirmative action should be included in the strategic plans of local authorities.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree

- 2.3 Management should be held accountable for the execution of affirmative action strategic plans.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree

SECTION 3

This section deals with the enforcement of affirmative action in local government.

INSTRUCTIONS

For the statements listed below please indicate your level of agreement, disagreement or otherwise by ticking the option you prefer.

- 3.1 Affirmative action should be enforced by central government.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
----------------------	----------	-------------------------------	-------	-------------------

- 3.2 Affirmative action should be enforced by way of agreement between individual local authorities and their respective trade unions.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
----------------------	----------	-------------------------------	-------	-------------------

- 3.3 Affirmative action should be enforced by way of agreement between employer (local authority) organisations and employee organisations (Eg. Unions).

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
----------------------	----------	-------------------------------	-------	-------------------

- 3.4 Central government, together with employer (local authority) organisations and employee organisations should reach consensus on affirmative action legislation for local government.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
----------------------	----------	-------------------------------	-------	-------------------

- 3.5 Quotas (for example, eighty percent of all job categories should be filled by blacks and twenty percent by whites) should be set as a means of controlling affirmative action.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 3.6 Setting objectives is a more flexible and realistic way to control affirmative action.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 3.7 If affirmative action objectives or quotas are set by the central government should impose fines on such local authorities.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 3.8 It is the role of management to monitor and evaluate affirmative action policies and programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 3.9 Trade Unions must be involved in the monitoring and evaluation of affirmative action policies and programmes.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
-------------------	----------	----------------------------	-------	----------------

- 3.10 Affirmative action policies and programmes must be evaluated by an Independent Body.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
------------------------------	-----------------	---------------------------------------	--------------	---------------------------

S E C T I O N 4

4.1

**Give your views on how affirmative action policies
and programmes should be enforced in local government**

4.2

**State how affirmative action
policies and programmes should be monitored**

Thank you for completing this Questionnaire!

**APPLICATION FOR SUMMARY
OF RESEARCH FINDINGS**

★ Please ★

complete the section below and return to

Mr C F Cain
P O Box 952
SOUTHDAL
2135

*NB : To ensure anonymity kindly forward your application
under separate cover*

NAME :

POSTAL ADDRESS :

.....

.....

.....

CODE :



Vraelys

*Beheer van Regstellende Aksie
in Plaaslike Bestuur*



*Ingevulde Vraelyste Moet
Asseblief Teruggestuur word teen :*

*Vrydag
5 November 1993*



Direktoraat Menslike Hulpbronne

STAD JOHANNESBURG



Posbus 10638
Johannesburg 2000

Tel: (011) 836-3711
Faks: 492-1263

21 Oktober 1993

Geagte Deelnemer

NAVORSINGSPROJEK : 'N BEHEERMODEL VIR REGSTELLEDE AKSIE IN PLAASLIKE BESTUUR

Regstellende aksie staan tans hoog op die agenda van organisasies in sowel die privaat as die openbare sektor. Gegewe die ondervinding op internasionale gebied, sal die noodsaaklikheid om regstellende aksie te beheer ongetwyfeld 'n sleutelkwessie wees.

Met die oog op bostaande het ek besluit om vir die doeleindes van 'n Meestersgraad in Bestuur aan die Wits Sakeskool navorsing oor die beheer van regstellende aksie in plaaslike bestuur te doen. Die doelwit van die navorsing is om 'n Beheermodel vir Regstellende Aksie in Plaaslike Bestuur te ontwikkel.

Om bogenoemde navorsing moontlik te maak, word u vriendelik versoek om bygaande vraelys in te vul en dit voor of op 5 November 1993 terug te stuur in die kovert wat voorsien word, of dit te faks na (011) 492-1263. Dit blyk nie meer as 20 minute van u tyd in beslag te neem nie. Aangesien slegs a Groot Stede, Vakunies en Civic Associations by die studie betrek word, is dit belangrik dat elke vraelys teruggestuur word. Antwoorde sal streng vertroulik behandel word en nóg u nóg u organisasie sal op enige manier in die navorsingsverslag geïdentifiseer word.

As u oor enigiets met betrekking tot die navorsing of die vraelys duidelikheid wil hê, skakel my asseblief by :

(011) 836-3711 (werk)
(011) 945-5076 (huis)

As u 'n opsomming van die navorsingsbevindings wil hê, vul asseblief bygaande aansoekvorm in. Dankie vir u hulp.

Die uwe

CHARLEY CAIN
Student



UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

The Graduate School of Business Administration
2 St David's Place, Parktown, Johannesburg, 2193 South Africa

☒ P.O. Box 98, WITS
2050 South Africa
☒ Embroidered
4000 SA
011 643 6641
Fax 011 643 2336

Hiermee word gesertifiseer dat Charles Cain 'n Meestersgraad in Bestuur (Menslike Hulpbronne) student by die Wits Sakeskool is en dat die bostaande navorsingsprojek 'n vereiste is vir sy meestersgraad. U samewerking om die aangehegte vraelys te voltooi en terug te stuur sal waardeer word.

p.l. **DR M BENDIXEN**

Navorsingskoördineerder

BIOGRAFIESE BESONDERHEDE

1. Dui asseblief u huidige posisie aan deur die toepaslike opsie te merk.

Raadsbeampte (slegs uitvoerende beamptes)	<input checked="" type="checkbox"/>
Raadslid	<input type="checkbox"/>
Vakuniebeampte (amptsdraer)	<input type="checkbox"/>
Civic Association-beampte	<input type="checkbox"/>
Ander (Meld asseblief) :	<input type="checkbox"/>

2. Dui asseblief aan by watter plaaslike bestuur u tans betrokke is deur die toepaslike stad te merk.

Bloemfontein	<input checked="" type="checkbox"/>
Durban	<input type="checkbox"/>
Kaapstad	<input type="checkbox"/>
Johannesburg	<input type="checkbox"/>
Pietermaritzburg	<input type="checkbox"/>
Port Elizabeth	<input type="checkbox"/>
Pretoria	<input type="checkbox"/>

OMSKRYWING VAN SLEUTELBEGRIPE

Maak u asseblief vertrouwd met die omskrywings van die volgende sleutel-begrippe wat in die vraelys gebruik word voordat u die vrae op bladsye 2 tot 7 beantwoord.

- 1 **Regstellende aksie :** Die aanwend van spesiale pogings om agtergeblewe groepe (d.w.s. Kleurlinge, Swartes, Asiërs en vroue) in plaaslike bestuur op te lei, te onderrig, raad te gee, te werf, te selekteer en te bevorder.
- 2 **Programme vir regstellende aksie :** Opleidings-, opvoedings-, onderrig- en adviesprogramme wat dit vir agtergeblewe groepe (Swartes, Kleurlinge, Asiërs en vroue) moontlik maak om op gelyke voet met bevoorregte groepe (Blanke mans) mee te ding.
- 3 **Beheer van regstellende aksie :** Om toe te sien dat die doelwitte van regstellende aksie deur monitering, evaluering, koördinering, beleid, prosedures en afdwinging bereik word.
- 4 **Meting :** Om te bepaal hoe effektief regstellende aksiedoelstellings bereik word.
- 5 **Strategiese beplanning :** Oorkoepelende planne van plaaslike bestuure om 'n doeltreffende diens aan belastingbetalers en inwoners te verskaf.
- 6 **Werknemer :** Plaaslike bestuurswerknemers.
- 7 **Bestuur :** Plaaslike bestuurstoesighouers/bestuurders.
- 8 **Werkgewerorganisasies :** Plaaslike bestuursorganisasies.
- 9 **Werknemerorganisasies :** Vakunies.

VRAELYS

BEHEER VAN REGSTELLEND E AKSIE IN PLAASLIKE BESTUUR

Elke vraag in hierdie vraelys het betrekking op regstellende aksie in plaaslike bestuur.

AFDELING 1

Hierdie afdeling gaan oor die betrokkenheid van belanghebbers by die beheer van regstellende aksie in plaaslike bestuur. 'n Belanghebber is enige groep of individu wat 'n besondere belang by welsyn en welvaart in plaaslike bestuur het. Dit is enige groep of individu wat deur die organisasie se doel geraak word.

OPDRAGTE

Vir die stellings hieronder, dui aan of u saamstem, nie saamstem nie, of andersins, deur die opsie te merk wat u verkies.

*LW : DAAR IS GEEN REGTE OF VERKEERDE ANTWOORDE NIE.
EK PROBEER VASSTEL HOE UITEENLOPEND MENINGS
OOR HIERDIE KWESSIES IS.*

VOORBEELD

1 Werknemers moet oor kwessies rakende regstellende aksie geraadpleeg word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heelte- maal saam
---------------------------	----------------------	-----------------------------------	--------------	---------------------------

INTERPRETASIE

Dit beteken dat u heeltemal saamstem dat werknemers oor kwessies rakende regstellende aksie geraadpleeg moet word.

OPDRAGTE

Vir die stellings hieronder, dui aan of u saamstem, nie saamstem nie, of andersins, deur die opsie te merk wat u verkies.

1 BETROKKENHEID VAN BELANGHEBBER

- 1.1 Die sentrale regering moet plaaslike bestuurs raad gee oor die ontwikkeling van beleid en programme vir regstellende aksie.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.2 Werkvloerverteenwoordigers (Shop Stewards) moet by die implementering van beleid en programme vir regstellende aksie betrokke wees.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.3 Deelname van agtergeblewe bestuurders aan die ontwikkeling en implementering van programme vir regstellende aksie is uiters noodsaaklik.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.4 Blanke bestuurders moet by die ontwikkeling van beleid en programme vir regstellende aksie betrokke wees.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.5 Beleid vir regstellende aksie moet tussen bestuur en die vakunies beding word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.6 Alle werknemers moet oor die ontwikkeling van programme vir regstellende aksie geraadpleeg word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.7 Raadslede moet betrokke wees by die bedinging van programme vir regstellende aksie.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 1.8 Civic Associations moet 'n rol in die ontwikkeling van beleid vir regstellende aksie speel.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

AFDELING 2

Hierdie afdeling gaan oor regstellende aksie en hoe dit met personeel- en opleidingsbeleid asook strategiese beplanning in plaaslike bestuur gekoppel moet word.

OPDRAGTE

Vir die stellings hieronder, dui aan of u saamstem, nie saamstem nie, of andersins, deur die opsie te merk wat u verkies.

- 2.1 As regstellende aksie effektief beheer moet word, moet dit deel van die personeel- en opleidingsbeleid uitmaak.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nóg nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 2.2 Regstellende aksie moet by die strategiese planne van plaaslike besture ingesluit word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 2.3 Bestuur moet verantwoording doen van die uitvoering van strategiese planne vir regstellende aksie.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

AFDELING 3

Hierdie afdeling gaan oor die afdwinging van regstellende aksie in plaaslike bestuur.

OPDRAGTE

Vir die stellings hieronder, dui aan of u saamstem, nie saamstem nie, of andersins, deur die opsie te merk wat u verkies.

- 3.1 Regstellende aksie moet deur die sentrale regering afgedwing word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.2 Regstellende aksie moet by wyse van ooreenkoms tussen individuele plaaslike besture en hulle onderskeie vakunies afgedwing word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.3 Regstellende aksie moet by wyse van ooreenkoms tussen werkgewerorganisasies (plaaslike besture) en werknemerorganisasies (bv. vakunies) afgedwing word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.4 Die sentrale regering, saam met werkgewerorganisasies (plaaslike besture) en werknemerorganisasies moet konsensus oor wetgewing betreffende regstellende aksie vir plaaslike bestuur bereik.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.5 Kwotas (byvoorbeeld tagtig persent van alle werkkategorieë moet deur Swartes en twintig persent deur Blankes gevul word) moet opgelê word as 'n manier om regstellende aksie te beheer.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.6 Die stel van doelwitte is 'n meer buigsame en realistiese manier om regstellende aksie te beheer.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.7 Indien doelwitte of kwotas vir regstellende aksie nie bereik word nie, moet die sentrale regering sulke plaaslike besture beboet.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.8 Dit is die rol van bestuur om beleid en programme vir regstellende aksie te monitor en te evalueer.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.9 Vakunies moet by die monitering en evaluering van beleid en programme vir regstellende aksie betrokke wees.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

- 3.10 Beleid en programme vir regstellende aksie moet deur 'n onafhanklike liggaam geëvalueer word.

Stem glad nie saam nie	Stem nie saam nie	Stem nog saam nog nie saam nie	Stem saam	Stem heeltemal saam
------------------------	-------------------	--------------------------------	-----------	---------------------

AFDELING 4

4.1

Gee u mening oor hoe beleid en programme
vir regstellende aksie in plaaslike bestuur
afgedwing moet word

4.2

Meld hoe beleid en programme vir
regstellende aksie gemoniteer moet word.

★ Baie Dankie dat u die vraelys ingevul het! ★

AANSOEK OM OPSOMMING VAN NAVORSINGSBEVINDINGS

★ *Vul asseblief* ★

die gedeelte hieronder in en stuur dit aan

Mr C F Cain
Posbus 952
SOUTHDALE
2135

LW : Om anonimiteit te verseker, stuur asseblief u aansoek afsonderlik.

NAAM :

POSDRES :

.....

.....

.....

KODE :

★

APPENDIX 5

CHI SQUARE RESULTS			
Question Number	Chi square value	Probability(P)	Accept Ho if $P > .05$ Reject Ho if $P < .05$
1.1	5,9325	0,2042	Accept Ho
1.2	4,7671	0,3120	Accept Ho
1.3	2,3303	0,6752	Accept Ho
1.4	6,7867	0,1476	Accept Ho
1.5	2,3291	0,6755	Accept Ho
1.6	4,7403	0,3150	Accept Ho
1.7	11,7454	0,0193	Reject Ho
1.8	1,8789	0,7580	Accept Ho
2.1	2,5247	0,6402	Accept Ho
2.2	6,8888	0,1419	Accept Ho
2.3	3,2945	0,5098	Accept Ho
3.1	12,8490	0,0120	Reject Ho
3.2	8,9102	0,0634	Accept Ho
3.3	10,5572	0,0320	Reject Ho
3.4	1,9622	0,7427	Accept Ho
3.5	24,9499	0,0001	Reject Ho
3.6	2,6783	0,6130	Accept Ho
3.7	19,6501	0,0006	Reject Ho
3.8	32,1033	0,0000	Reject Ho
3.9	3,7815	0,4364	Accept Ho
3.10	4,3830	0,3566	Accept Ho

Author: Cain, C.F

Name of thesis: An affirmative action control model for local government

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